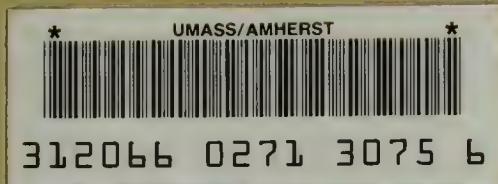


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A MANAGEMENT STUDY OF THE
MASSACHUSETTS BOARD AND
DEPARTMENT OF EDUCATION

December 1985

VOLUME 1 of 2

A MANAGEMENT STUDY OF THE MASSACHUSETTS
BOARD AND DEPARTMENT OF EDUCATION

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I - EXECUTIVE SUMMARY

I - EXECUTIVE SUMMARY

This executive summary outlines the major conclusions and recommendations resulting from a management study of the Massachusetts Board and Department of Education. The study was conducted by Cresap, McCormick and Paget (CMP) during the period from July through October 1985.

The primary purpose of this study was to identify changes in the Board and the Department needed to efficiently and effectively implement Chapter 188 of the Public School Improvement Act of 1985 and to improve their ability to meet the educational needs of the Commonwealth generally. Because the study focused on needed changes and improvements, this report gives little attention to the Board's and Department's strengths and accomplishments. It should be emphasized at the outset that there are many such strengths and accomplishments and that the recommendations in this report are intended to help strengthen an organization which is already performing many important functions well. Further, it should be emphasized that, although this report makes recommendations to improve working relationships among the Board, Governor's Office, Legislature, and Department, the passage of the reform legislation signals a strong commitment to education by these parties and provides a significant opportunity to strengthen educational performance in the Commonwealth. This report is intended to assist in meeting those important goals.

ORGANIZATION OF REPORT AND SUMMARY

- The recommendations resulting from the CMP study are organized into five areas:
 - Mission, roles, and responsibilities (Chapter III)
 - Operations (Chapter IV)
 - Organization and staffing (Chapter V)
 - Working relationships (Chapter VI)
 - Funding (Chapter VII).

- In order to enhance the report's utility and ease of use, however, this Executive Summary and the Implementation Plan (Chapter VIII) organize the recommendations into three action categories (which vary by purpose, responsibility, and timing of implementation) and a fourth category on funding:
 - Actions to be taken in implementing Chapter 188
 - Other actions to be implemented in the near term
 - Actions requiring involvement of the new Commissioner
 - Funding.

ACTIONS TO IMPLEMENT
CHAPTER 188

- The Board should appoint the advisory councils and coordinating committees required to implement Chapter 188.
- The staff and responsibilities required by Chapter 188 should be assigned to appropriate units in the reorganized structure, as suggested in the full CMP report.
- Additional staff will be required in selected units to implement Chapter 188, particularly during the 1985-86 and 1986-87 start-up period.
 - The total estimated staffing requirements in the first three years (including permanent professionals, temporary professionals, and support staff in the central office and in the regional centers) are:
 - o 22.25 FTEs in 1985-86
 - o 34.50 FTEs in 1986-87
 - o 26.50 FTEs in 1987-88.
 - Many of the needed positions can be obtained through reallocations of positions no longer required in other units, rather than through increases to the Department's total staffing level.
- This study's recommendations will enable staff reductions in some areas, thereby making positions available to meet at least some of the Department's new responsibilities under Chapter 188.
- Selected units should be analyzed in more detail to determine required levels of staffing.

- To successfully implement the mandates of Chapter 188, the Department will require access to additional technical and analytical expertise in testing, assessment, training, and evaluation.
 - In areas where such expertise is needed only in the beginning (to design new programs), the Department should rely on consultants and/or temporary employees to meet these requirements.
- An Information Management Coordinator position should be established to coordinate revised procedures to collect information from local school districts to ensure that:
 - Information requests are effectively coordinated
 - Local school districts receive useful feedback
 - Local school districts understand the purposes for which information is being collected.
- Effective structures and procedures should be established that will encourage local school districts to use the regional education centers to communicate recommendations and concerns to the Board, through the Commissioner.
- The Department should increase the number of channels used to provide local school districts with information on the variety of programs and services it offers.
- The Board and the Department should allow sufficient time for local, regional, and constituent input.
- The Board should use a variety of direct and indirect lines of communication to obtain needed information.
- Relationships among the Board, the Office of the Governor, the State Legislature, and the Department should be improved to more adequately support the Board's roles and responsibilities.
 - The interrelated responsibilities of the Board, the Department, the Governor, and the Legislature should be clarified and respected by all parties.
- A lay Board should be continued and should be supported in exercising leadership to ensure that the educational policy making process is coordinated and based, to the extent possible, on educational needs rather than politics.

- The Board and the Department should continue to collaborate with other State agencies and officials on programs of mutual interest.
- The Board and Department staff should improve their visibility and accessibility at the local level.
- The Board and the Department should collaborate with advisory groups and regional councils to more clearly define their roles.
- The ways in which advisory groups communicate with the Board should be improved to ensure that the Board obtains needed advice without being overloaded with information.
- The Department should rely more heavily on brokering in providing technical assistance to local school districts.
 - Department regulatory activity should be used to identify needs and problems that the Department's technical assistance and brokering efforts can address as well as to monitor compliance with State and federal regulations.

OTHER ACTIONS TO BE
IMPLEMENTED IN THE
NEAR TERM

- The Board of Education should take steps to assert leadership, clarify its governance role, and promote a consistent approach to carrying out its mission.
 - The Board should adopt a mission statement that states the Board's purposes, furnishes a philosophical framework for setting policy and making decisions, and provides overall direction to Department activities.
 - The Board should also adopt a statement of principles to guide the Department in achieving the Board's educational objectives.
- The Board should further assert its leadership by establishing an integrated planning process that will communicate Board priorities and ensure that those priorities are reflected in Department activities.
 - As part of this process, the development of operational plans should be effectively coordinated with the development of the Department's budget.
 - The planning process should consist of four cycles of activity:

- o Develop long-range objectives and priorities
 - o Develop annual objectives and priorities
 - o Develop annual budget/operational plans and revise long-range budget/operational plans
 - o Administer budget/operational plans.
- The Board of Education should have line-item control of the Department's budget and authority to approve certain expenditures.
 - The Board should be given the authority to reallocate the approved funds in the Department's annual budget so it can respond quickly and effectively to circumstances unforeseen when the Legislature adopted the budget.
 - The Governor's Office should modify the way in which it exercises oversight of the Department to give the Board more operational latitude.
- Board meetings should be structured to make the most effective use of Board member and Department staff time.
 - Board members should play a more active role in establishing restructured agendas, which should reflect priorities.
 - o Advisory reports should be presented at the end of Board meetings.
 - o A consent agenda for items requiring no discussion should be prepared for each meeting.
 - Board discussions should focus on policy issues.
- The Department should establish a continuous, integrated orientation and in-service training program to give Board members a comprehensive understanding of State and federal education laws and regulations, the Department, its programs, and the educational issues they will address as Board members.
- Board members should receive information that enhances their ability to understand and discuss policy issues and enables them to more effectively oversee Department activities.
- The Department should continue to support the efforts of the Application Study Team to improve the quality, integration, and utility of the Department's automated information systems.

- Coordination between the central office and the regional centers should be improved to reduce duplication of effort, shorten the time required to process paperwork, improve staff morale, and enhance the Department's image with local school districts.
- The Board should actively and consistently implement its policy of developing detailed performance objectives against which the Commissioner's, the Department's, and its own performance can be systematically evaluated at the end of each year.
- The operations of the Teacher Preparation, Certification, and Placement Bureau should be examined in a more detailed followup study to identify staffing needs and opportunities to streamline operations.
- The Immigration and Americanization Unit should be disbanded because its functions are supplied by federal programs.
- Four organizational units should be retitled to more accurately reflect their responsibilities.
 - The Office of Legislative Affairs should be retitled the Office of External Relations to indicate the full scope of its responsibilities.
 - The Office of Executive Planning should be retitled the Office of Planning, Research and Policy Analysis to cover all aspects of its support for the Commissioner.
 - The Administration and Personnel Division should be retitled the Finance and Administration Division to highlight the two major aspects of its work.
 - The School Facilities and Related Services Division should be retitled the School Management, Organization, and Facilities Division to more accurately communicate the scope of its responsibilities.
- Recommended modifications in the Department's roles and responsibilities will affect required staff competencies.
 - To provide required financial and administrative support, central office staff in the Division of Finance and Administration should have technical expertise in relevant business and general management functions.

- Staff in the Office of Program Services will require technical skills in evaluation, research, and planning as well as substantive knowledge of the programs they service.
- The regional centers should employ an appropriate balance of specialists and generalists capable of assessing needs, monitoring programs, and brokering needed assistance in a wide variety of program areas.

ACTIONS REQUIRING
INVOLVEMENT OF THE
NEW COMMISSIONER

- The roles and responsibilities of the Board of Education, the Commissioner, central office staff, and regional center staff should be clearly delineated.
 - The Board should establish priorities, set policy, fulfill its statutory responsibilities, and interact with the Governor's Office and the State Legislature.
 - The Commissioner should be responsible to the Board for the Department's performance, should serve as the primary spokesperson for education in the Commonwealth, and should effectively communicate Board priorities to the Department and the general public.
 - Central office managers should prepare and plan programs, train Department staff, provide administrative and technical support to both the regional centers and the Board, and coordinate all Department activities.
 - The regional centers should represent the Department in most dealings with local school districts.
- Bureau Directors and Regional Directors should clearly understand that under most circumstances Bureau Directors have primary responsibility for developing, planning, and evaluating programs, while Regional Directors have primary responsibility for implementing these programs.
 - These roles should not be mutually exclusive, however; Regional Directors and staff should have input into central office planning and program development efforts and central office Bureau Directors and staff should participate in the development of implementation approaches.

- To improve proximity to other State offices, operational efficiencies, and service, consideration should be given to relocating the Department central offices.
 - The costs and benefits of moving Department's central office (or at least selected units) from its present location in Quincy to Boston should be carefully calculated.
- The Department should implement a system to monitor employee workload by program and type of activity and to use such data to periodically adjust staffing levels.
- The Department should work with the State's Department of Personnel Administration and the State Office of Employee Relations to establish a formal written performance evaluation program.
- A lead secretary in each division and regional center should assume administrative responsibility for coordinating the use of clerical personnel in that division or center.
- Although the Department's overall structure is sound, selected Department functions should be reorganized to improve efficiency.
 - Responsibility for management of routine, day-to-day Department operations should be delegated to the Deputy Commissioner for Program Operations.
 - Cross-division planning, evaluation, information sharing, and equal educational opportunity responsibilities should be better coordinated, and selected units with responsibilities in these areas should be consolidated in an Office of Program Services, under the Deputy Commissioner for Program Operations.
 - o The units to be consolidated in this new office should be identified through more detailed analysis in the followup study.
 - Selected financial management, budget, information systems, and grants processing functions currently in the program divisions should be consolidated in the Finance and Administration Division (currently titled the Administration and Personnel Division).

- A full-time position of Executive Assistant to the Board, reporting to the Commissioner, should be established to provide the staff assistance needed by the Board to improve its operations and leadership.
- The position of Executive Deputy Commissioner should be titled Deputy Commissioner for External Relations and responsibilities should concentrate entirely on external relations.
- The Associate Commissioners should be hired and evaluated by the Commissioner, but supervised on a day-to-day basis by the Deputy Commissioner for Program Operations.
- Communications between the Board and the Department should be improved.

FUNDING

- The staff adjustments recommended in the CMP study (resulting in a net reduction of five positions) would make possible recurring annual savings of over \$136,000.
- The more detailed analysis recommended to follow the CMP study will probably reveal that cost savings are possible in a number of additional areas.
 - Cost savings may result from the consolidation of some units into the new Office of Program Services, the consolidation of other units into the Finance and Administration Division, a detailed analysis of secretarial requirements in the central office, and the recommended shift from the direct provision of technical assistance to a greater reliance on brokering of services in the regional centers.
- Implementation of some of the study's recommendations will require additional expenditures, but most can be offset by staff consolidations and increased efficiencies.
 - The likely additional expenditures include staffing in teacher certification, more effective use of computer resources, relocating the Department's central office from Quincy to Boston, and the detailed followup analysis (a one-time cost of \$100,000).
- The total estimated Departmental costs (salaries, benefits, administrative expenses, data processing, and computer equipment) of implementing Chapter 188 during the first three years of activity are:

- \$893,890 in FY 1985-86
 - \$1,331,045 in FY 1986-87
 - \$1,007,301 in FY 1987-88.
- Additionally, implementation of Chapter 188 will require the development and administration of tests under the Curriculum Assessment, Basic Skills Tests, and Certification Tests programs; the estimated costs of these activities in the first three years are:
 - \$2,500,000 in FY 1985-86
 - \$3,000,000 in FY 1986-87
 - \$1,700,000 in FY 1987-88.

II - INTRODUCTION

II - INTRODUCTION

This report presents the results of a comprehensive management study of the Massachusetts Board and Department of Education conducted by Cresap, McCormick and Paget (CMP) between July and October 1985. The study focused on strategic and management issues central to fulfilling the requirements of Chapter 188 (the Commonwealth's recently-enacted reform legislation) and to meeting the educational needs of the Commonwealth. This introductory chapter states the objectives and scope of the study, explains the study approach, summarizes relevant background information, and outlines the arrangement of this report.

OBJECTIVES AND SCOPE

- The primary purpose of this study was to formulate:
 - A management plan to guide the Massachusetts Board of Education and the Commonwealth's Department of Education in efficiently and effectively fulfilling the provisions of the recently passed education reform legislation
 - A plan for implementing recommended changes in the Board and the Department, including the specification of implementation tasks, schedules, responsibilities, costs, and savings.
- To accomplish these overall goals, it was necessary to review and determine needed changes in:
 - The missions, roles, and responsibilities of the Board and the Department
 - The structure and operations of the Board
 - Organization, staffing, and functions of the Department
 - Working relationships among the Board, the Department, the Office of the Governor, the Legislature, other State agencies, advisory groups, the regional education centers, and local districts and schools
 - Departmental funding.

- The study was comprehensive in scope:
 - It covered the Board, all organizational units in the Department, and the six regional education centers.
 - In addition, representatives of other relevant State, regional, and local agencies were consulted during the study.

APPROACH

- The study began with initial meetings with Board of Education members and top administrative staff in the Department to conduct a brief orientation and establish working relationships with key persons in the Commonwealth.
- CMP then prepared a briefing paper, with the assistance of the Education Commission of the States and Dr. Eleanor Farrar, a resource consultant, to analyze lessons from research and experience in other states relevant to the strategic and management policy issues being faced in Massachusetts.
- Required information was obtained through reviews of documents and extensive interviews and meetings.
 - The consultants interviewed and met with approximately 400 persons, including all Board of Education members, legislators, officials in the Office of the Governor, top and middle level administrative staff in the Department, a sample of other central office staff, regional education center staff, local school committee members and school district staff, officials in other State agencies, association officials, and selected individuals.
 - Topics addressed in these interviews covered all aspects of Board and Department missions, roles, responsibilities, operations, organization and staffing, and working relationships.
 - Some persons were interviewed more than once.
 - The consultants met with the Executive Committee of the Board on five occasions and observed Board meetings.
 - The consultants reviewed relevant documents, including policy statements, relevant State and federal legislation, current mission statements, program descriptions, organization charts, budgets, policies, reports, planning documents, position descriptions, and available workload indicators and data.

- After analyzing all this information CMP prepared a draft report for review and discussion.
- This final version of the report contains revisions made based on reactions to the draft by the Board, Department managers and staff, legislators, and a wide variety of educators and citizens throughout the Commonwealth.

BACKGROUND

Recent Developments in Massachusetts

- Chapter 188 of the Public School Improvement Act was passed in July 1985 to:
 - Support educational excellence and equity for all students in the Commonwealth
 - Increase the accountability of teachers and students
 - Provide resources for creative educational improvements
 - Provide resources to equalize educational opportunity.
- Chapter 188 establishes programs and provides funding specifically aimed at:
 - Improving the performance of students in low income school districts and of disadvantaged and underachieving students
 - Enhancing the opportunities available for gifted students
 - Encouraging improved performance of teachers and local school administrators
 - Establishing a Statewide achievement testing program and a data collection system that will assist in assessing student needs and conducting long-range planning.
- The legislation also requires the Board to prepare a management plan for the Department which:
 - Reflects the role of the Department as a service provider to local school districts
 - Assesses the use of existing staff and resources

- Addresses the responsibilities and requirements placed on the Department by the provisions in the act
- Recommends any legislation necessary to implement the management plan.
- CMP was commissioned to conduct a comprehensive management study to support the development of the management plan.

Governance

- A 12-member Board of Education sets general policy, oversees the budget, and employs the Commissioner to administer the Department of Education.
 - Eleven members of the Board are appointed by the Governor.
 - The Chairman of the Student Advisory Council is also a member of the Board.
 - The Chancellor of the Board of Regents is an Ex-Officio member of the Board.
 - The Commissioner of Education serves as Secretary of the Board and is a member of the Board's Executive Committee.
- Board members serve overlapping five-year terms and no member can be appointed to serve more than two full terms.
- The Board meets formally once a month, but meets periodically as needed.

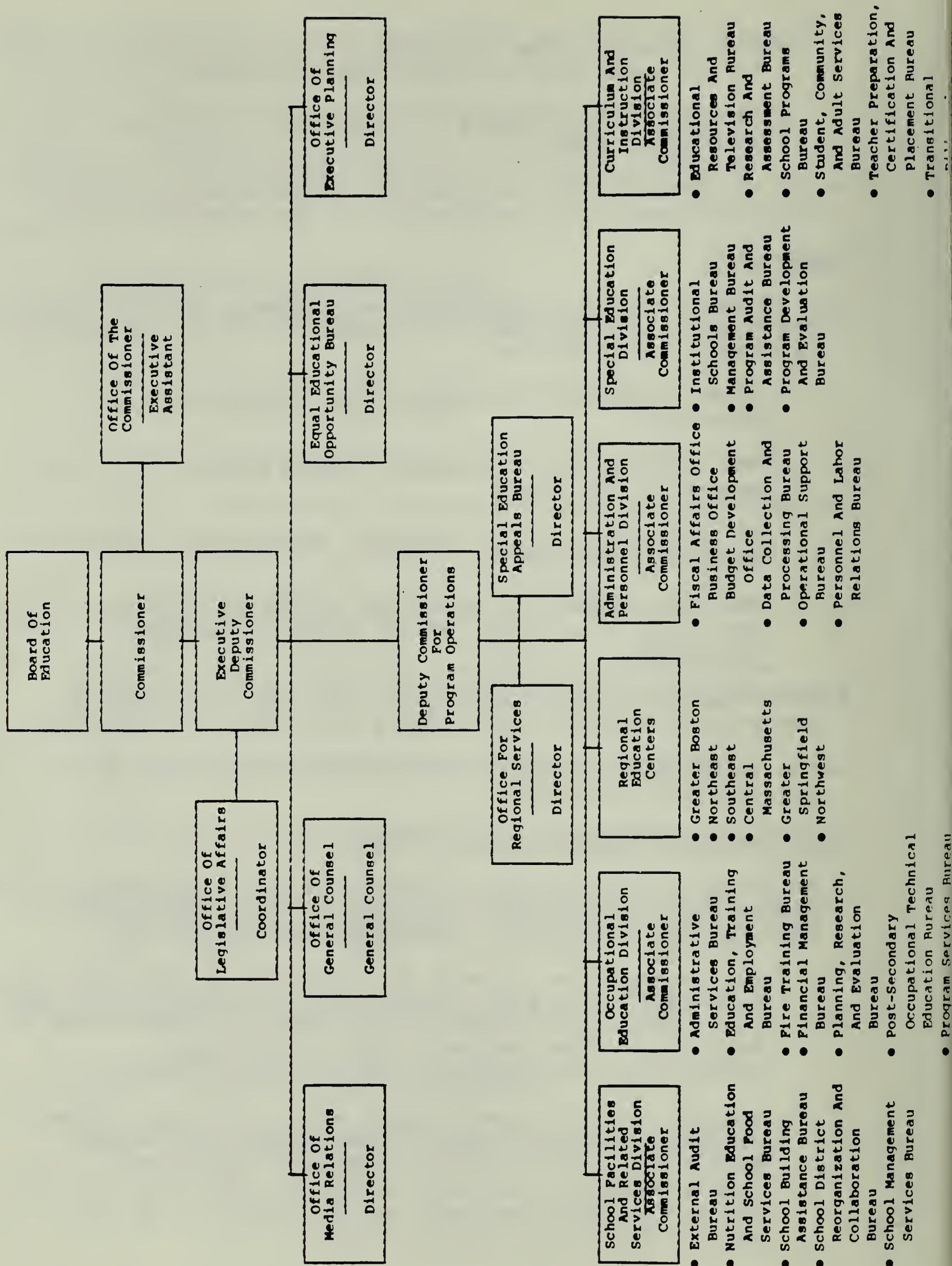
Department Organization And Staffing

- As shown in Exhibit II-1, under the current structure of the Massachusetts Department of Education (the Department), a Commissioner has overall management responsibility.
 - The Commissioner reports to the Board of Education and is directly assisted by an Executive Assistant and four staff units that support activities involving media relations, legal counsel, equal educational opportunity, and planning and policy analysis.
 - Reporting to the Commissioner are an Executive Deputy Commissioner and a Deputy Commissioner for Program Operations, who in turn oversees the Associate Commissioners of the five divisions, the Directors of the six regional centers, and the Director of the Special Education Appeals Bureau.

Massachusetts Board And Department Of Education
CURRENT STRUCTURE

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EXHIBIT II-1



- The five divisions and six regional centers are the basic units for the programmatic and administrative functions of the Department.
 - Four programmatic divisions oversee and assist Department programs in schools and one administrative division is responsible for fiscal affairs, personnel, and other administrative matters.
 - o Each Division consists of four to seven bureaus responsible for specific areas.
 - Six regional centers are spread in key geographical locations to facilitate implementation of the Department's programs and to assist local school districts.
- The total full-time equivalent (FTE) staff employed by the Department decreased by 220 FTEs or 22.2 per cent in the past six years, as shown in Exhibit II-2.
 - State funded positions decreased by 152 FTE or 24.4 per cent over the six-year period.
 - Federally funded positions decreased by 65 FTE or 19.7 per cent over the same period.
 - Trust positions decreased by 3 or 8.1 per cent over the six-year period.
- Total state and federal appropriations increased by \$489.9 million or 7.6 per cent in the past six years, as shown in Exhibit II-3.
 - State appropriations increased by \$438.6 million or 8.2 per cent over the six-year period.
 - Federal appropriations increased by \$49.6 million or 4.1 per cent over the same period.
 - Trust appropriations increased by \$1.7 million or 18.9 per cent over the six-year period.
- Current staffing levels for the Department are shown in Exhibit II-4, and FY 1986 appropriations are shown in Exhibit II-5.

The Office Of The Commissioner

- The Commissioner of Education implements and oversees all policies, standards, laws, and regulations affecting public education for the Board of Education and the Massachusetts General Court.

FY 1980-1986

	1980			1981			1982			1983			1984			1985			1986			Total Change		
	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change	Actual	Per Cent	Change
State	623	605	-18	-2.9%	524	-81	-13.4%	516	-8	-1.5%	487	-29	-5.6%	470	-17	-3.5%	471	+1	-	-152	-24.4%			
Federal	330	328	-2	-.6	308	-20	-6.1	279	-29	-9.4	273	-6	-2.2	258	-15	-5.5	265	+7	+2.7	-65	-19.7			
Trust	37	39	+2	+5.4	41	+2	+5.1	31	-10	-24.3	30	-1	-3.2	38	+8	+26.7	34	-4	-10.5	-3	-8.1			
Total	990	972	-18	-1.8	873	-99	-10.2	826	-47	-5.3	790	-36	-4.4	766	-24	-3.0	770	+4	+5	-220	-22.2			

Massachusetts Board And Department Of Education

TOTAL DEPARTMENT APPROPRIATIONS
FY 1980-1986

(In Thousands Of Dollars)

	<u>1980</u>	<u>1981</u>	<u>Per Cent Change</u>	<u>1982</u>	<u>Per Cent Change</u>	<u>1983</u>	<u>Per Cent Change</u>	<u>1984</u>	<u>Per Cent Change</u>	<u>1985</u>	<u>Per Cent Change</u>	<u>1986</u>	<u>Per Cent Change</u>	<u>Actual</u>	<u>Per Cent Change</u>	<u>Total</u>
State	992,760	991,218	+ .2%	1,021,889	+3.1%	1,026,482	+ .4%	1,166,872	+13.7%	1,322,311	+13.3%	1,431,356	+8.2%	438,596	+44.2%	
Federal	209,171	214,827	+2.7	212,288	-1.2	207,591	-2.2	228,671	+10.2	248,517	+8.7	258,759	+4.1	49,588	+23.7	
Trust	<u>1,614</u>	<u>1,569</u>	<u>+2.8</u>	<u>1,985</u>	<u>+26.5</u>	<u>2,966</u>	<u>+49.4</u>	<u>3,076</u>	<u>+3.7</u>	<u>2,793</u>	<u>+9.2</u>	<u>3,322</u>	<u>+18.9</u>	<u>1,708</u>	<u>+105.8</u>	
Total	1,203,545	1,207,614	+ .3%	1,236,162	+2.4%	1,237,039	+ .1%	1,398,619	+12.9%	1,573,621	+12.5%	1,693,437	+7.6%	489,892	+40.7%	

Massachusetts Board And Department Of Education

DEPARTMENT OF EDUCATION
CURRENT LEVEL OF STAFFING

	State And Trust		Federal		Total Staff	
	Professional	Support	Professional	Support	Professional	Total
<u>Office Of The Commissioner</u>						
Commissioner	2	6	1	-	3	9
Media Relations	1	1	1	-	2	3
General Counsel	3	1	2	1	5	7
Equal Educational						
Opportunity	4	1	2	-	6	7
Planning	3	-	-	1	3	4
Subtotal	13	9	6	2	19	30
<u>Office Of The Executive</u>						
<u>Deputy Commissioner</u>						
Executive Deputy	2	-	1	1	3	4
Legislative Affairs	1	-	1	1	2	3
Subtotal	3	-	2	2	5	7
<u>Office Of The Executive</u>						
<u>Deputy Commissioner For</u>						
<u>Program Operations</u>						
Deputy Commissioner	2	-	1	1	3	4
Regional Services	1	1	-	-	1	2
Special Education						
Appeals	3	1	4	3	7	11
Subtotal	6	2	5	4	11	17

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	State		Federal		Total Staff	
	Professional	Support	Professional	Support	Professional	Support
School Facilities And Related Services Division						
Associate Commissioner	1	2	-	-	1	2
External Audit	23	1	12	3	35	4
Nutrition Education And School Food Services	10	17	14	10	24	27
School Building Assistance	4	2	-	-	4	2
School District Reorganization And Collaboration	-	1	1	-	1	1
School Management Services	2	1	-	-	2	1
Subtotal	40	24	27	13	67	37

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Occupational Education Division						
Associate Commissioner	1	-	-	3	1	3
Administrative Services Education, Training And Employment	1	-	1	2	2	2
Fire Training	2	1	-	-	2	1
Financial Management	3	10	-	-	3	10
Planning, Research, And Evaluation	3	1	5	3	8	4
Post-Secondary	1	-	2	1	3	1
Occupational Technical Program Services Bureau	3	-	2	3	5	3
Subtotal	17	13	14	16	31	29

	State		Federal		Total Staff	
	Professional	Support	Professional	Support	Professional	Support
<u>Administration And Personnel</u>						
<u>Division</u>						
Associate Commissioner	1	-	-	1	1	2
Fiscal Affairs Office						
Business Office	2	9	-	10	2	21
Budget Development						
Office	2	-	1	1	3	4
Data Collection And						
Processing	6	5	3	3	9	17
Operational Support	5	10	2	2	7	19
Personnel And Labor						
Relations	7	4	1	-	8	12
Subtotal	23	28	7	17	30	75
<u>Special Education Division</u>						
Associate Commissioner	4	1	2	1	6	8
Institutional Schools						
Bureau	5	2	-	-	5	7
Schools	106	6	-	-	106	112
Management Bureau	5	5	1	9	6	20
Program Audit And						
Assistance	3	-	6	3	9	12
Program Development						
And Evaluation	2	-	5	1	7	8
Subtotal	125	14	14	14	139	167

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Massachusetts Board And Department Of Education

DEPARTMENT OF EDUCATION
STATE AND FEDERAL APPROPRIATIONS

FY 1986

(In Thousands Of Dollars)

	Personnel				Total Salaries	Other Operating		Local Assistance		Benefits- Indirect Costs		Total Funds	
	State And Trust		Federal	Support		State	Federal	State	Federal	Federal	State	Federal	Total
	Professional	Support											
Office Of The Commissioner													
Commissioner	114	111	32	-	257	79	10	-	-	304	42	346	
Media Relations	28	16	36	-	80	8	-	-	-	52	36	88	
General Counsel	113	24	75	16	228	5	-	-	-	142	91	233	
Equal Educational Opportunity	140	19	46	-	205	1	4	3,535	-	3,695	50	3,745	
Planning	103	-	-	15	118	5	8	-	-	108	23	131	
Subtotal	498	170	189	31	888	98	22	3,535	-	4,301	242	4,543	
Office Of The Executive													
Deputy Commissioner													
Executive Deputy	91	-	31	25	147	6	-	-	-	97	56	153	
Legislative Affairs	27	-	31	15	73	-	-	-	-	27	46	73	
Subtotal	118	-	62	40	220	6	-	-	-	124	102	226	
Office Of The Executive													
Deputy Commissioner For													
Program Operations													
Deputy Commissioner	87	-	34	25	146	12	-	-	-	99	940	1,039	
Regional Services	49	15	-	-	64	3	-	-	-	67	-	67	
Special Education													
Appeals	104	16	115	49	284	3	107	-	-	123	271	394	
Subtotal	240	31	149	74	494	18	107	-	-	289	1,211	1,500	

School Facilities And
Related Services Division

Associate Commissioner
External Audit

Nutrition Education
And School Food

Service
School Building

Assistance
School District

Reorganization And
Collaboration

School Management
Services

Subtotal

Division	State And Trust		Personnel		Total		Other		Local		Fringe Benefits-		Total Funds	
	Professional Support		Professional		Salaries		Operating		Assistance		Indirect Costs		State	
	State	Trust	Professional	Federal	State	Federal	State	Federal	State	Federal	State	Federal	State	Federal
Occupational Education														
53 Associate Commissioner	-	-	-	-	62	115	6	3	-	-	294	59	359	418
42 Administrative Services	-	-	31	-	29	102	1	1	-	-	-	43	61	104
67 Education, Training And Employment	15	-	-	-	-	82	1	-	1,500	-	-	1,583	-	1,583
95 Fire Training	175	-	-	-	-	270	732	-	-	-	-	1,002	-	1,002
82 Financial Management	25	-	161	-	48	316	79	612	-	-	-	186	821	1,007
16 Planning, Research, And Evaluation	-	-	57	-	15	88	2	-	-	150	--	18	222	240
94 Post Secondary	-	-	44	-	40	178	1	1	-	3,215	-	95	3,300	3,395
103 Occupational Technical Program Services	16	-	110	-	55	284	4	20	-	11,278	-	123	11,463	11,586
552 Subtotal	231	-	403	-	249	1,435	826	637	1,500	14,643	294	3,109	16,226	19,335
Administration And Personnel														
46 Associate Commissioner	-	-	-	-	22	68	291	10	-	-	161	337	193	530
71 Fiscal Affairs Office	164	-	-	-	178	413	1,184	-	2,500	-	-	3,919	178	4,097
70 Budget Development Office	-	-	34	-	21	125	3	-	-	-	-	73	55	128
173 Data Collection And Processing	112	-	93	-	53	431	283	-	1,192,287	-	-	1,192,854	146	1,193,000
125 Operational Support	167	-	55	-	35	382	58	16	-	-	-	350	106	456
194 Personnel And Labor Relations	73	-	26	-	-	293	4	-	-	-	-	271	26	297
679 Subtotal	516	-	208	-	309	1,712	1,823	26	1,194,787	-	161	1,197,804	704	1,198,508
Special Education Division														
126 Associate Commissioner	20	-	79	-	16	241	26	56	-	-	234	172	385	557
161 Institutional Schools Bureau	42	-	-	-	-	203	5,960	134	2,084	-	11	8,247	145	8,392
2,404 Schools	94	-	-	-	-	2,498	620	-	-	-	-	8,247	145	8,392
174 Management	89	-	27	-	173	463	665	39	14,857	40,993	-	15,785	41,232	57,017
109 Program Audit And Assistance	-	-	166	-	50	325	3	195	-	417	-	112	828	940
65 Program Development And Evaluation	-	-	128	-	20	213	7	486	-	-	-	72	634	706
3,039 Subtotal	245	-	400	-	259	3,943	7,281	910	16,941	41,410	245	27,506	43,224	70,730

Division	Personnel			Other			Local Assistance		Fringe Benefits- Indirect Costs		Total Funds	
	State And Trust		Federal	Operating		Total Salaries	Assistance		Federal		State Federal	
	Professional	Support		State	Federal		State	Federal	State	Federal	State	Federal
	Professional	Support	Professional	State	Federal	Professional	State	Federal	State	Federal	State	Federal
Curriculum And Instruction												
Associate Commissioner	118	52	-	79	249	79	46	343	244	686	666	1,352
Education Resources	126	-	112	13	251	13	500	-	-	626	133	759
Research And Assessment	129	22	-	-	151	-	607	-	-	758	-	758
School Programs	131	17	255	81	484	81	524	98	-	72,261	83,649	155,910
Student, Community, And Adult Services	331	68	57	-	456	-	108	18	-	2,507	1,978	4,485
Teacher Preparation, Certification And Placement	241	124	31	-	396	-	28	1	-	393	32	425
Transitional Bilingual Education	42	-	98	30	170	30	13	35	-	55	7,267	7,322
Subtotal	1,118	283	553	203	2,157	203	1,826	160	244	77,286	93,725	171,011
Regional Education Centers												
Greater Boston Regional Education Center	721	66	501	84	1,372	84	132	52	-	919	637	1,556
Northeast Regional Education Center	652	65	276	41	1,034	41	94	75	-	811	392	1,203
Southeast Regional Education Center	689	63	214	72	1,038	72	32	35	-	784	321	1,105
Central Massachusetts Regional Education Center	640	65	311	169	1,185	169	59	94	-	764	574	1,338
Greater Springfield Regional Education Center	598	84	286	56	1,024	56	73	58	-	755	400	1,155
Northwest Regional Education Center	218	29	229	17	493	17	21	25	-	268	271	539
Subtotal	3,518	372	1,817	439	6,146	439	411	339	-	4,301	2,595	6,896
Grand Total	10,872	2,296	4,512	1,852	19,533	1,852	14,000	2,702	2,404	1,434,278	259,067	1,693,345

- The Office of the Commissioner is composed of four units.
 - The Office of Media Relations is responsible for creating, coordinating and disseminating public information on the Department of Education.
 - The Office of General Counsel provides legal advice to the Commissioner and the Department staff and assists them in interpreting and enforcing education laws in local school districts.
 - The Equal Educational Opportunity Bureau provides technical assistance and administers funding for race desegregation of schools and oversees civil rights compliance activities in the Department.
 - The Office of Executive Planning coordinates long-range planning and policy development for the Department of Education.

The Office Of The Executive Deputy Commissioner

- The Executive Deputy Commissioner directs and coordinates relations with State and federal agencies, the State legislature and national organizations.
 - Reporting directly to the Executive Deputy Commissioner, the Office of Legislative Affairs serves as the State liaison between the Department of Education and the Massachusetts General Court.

The Office Of The Deputy Commissioner For Program Operations

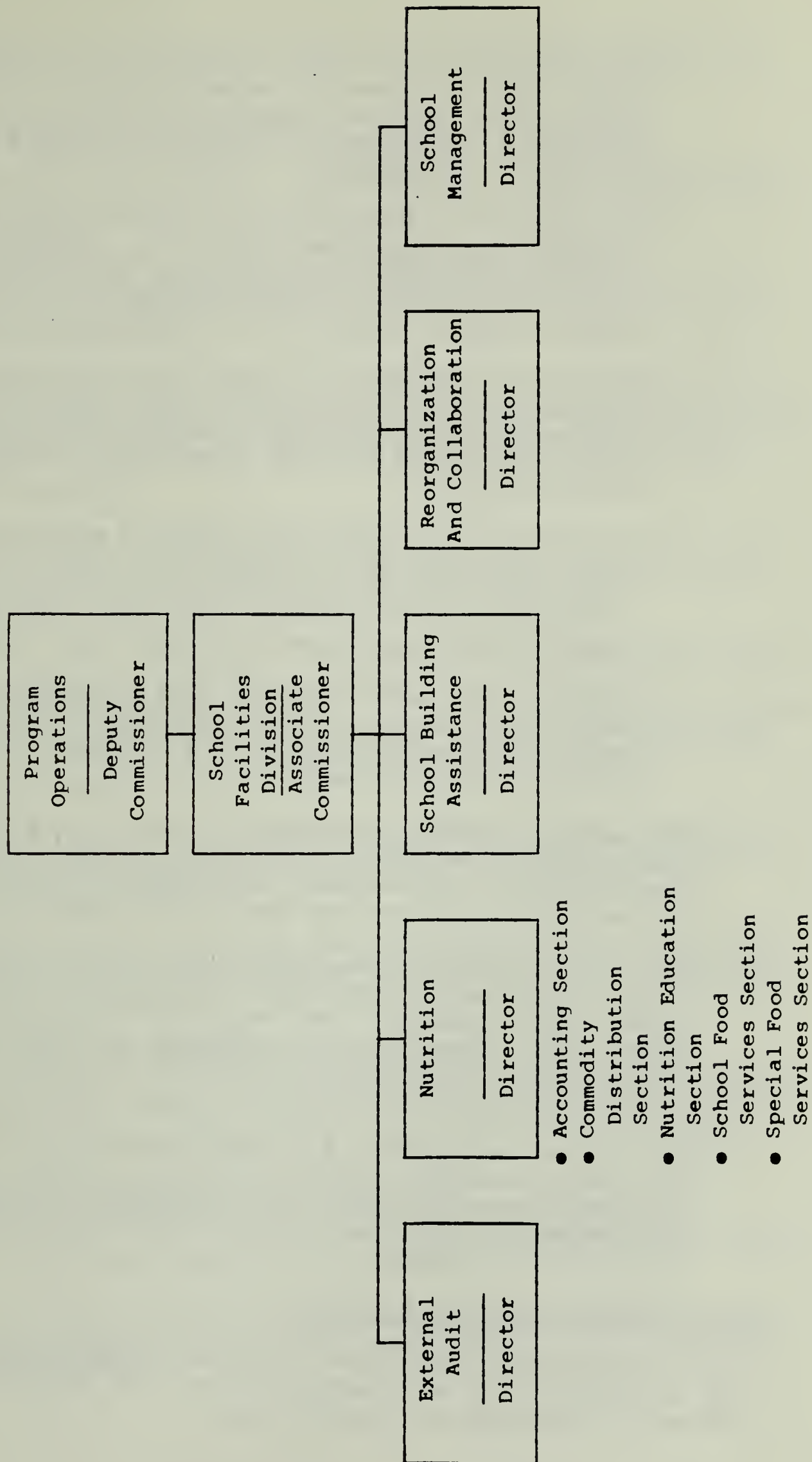
- The Deputy Commissioner for Program Operations directs, monitors, supports and evaluates all Department operations and supervises the progress of activities carried out under the Commissioner's Annual Operational Plan.
- Directly linked to Program Operations, the Office for Regional Services coordinates educational service delivery by regional education centers and supervises staffing patterns and personnel procedures for those centers.
 - Regional Education Centers deliver educational services, provide information and technical assistance, monitor State and federal laws and oversee the distribution of State and federal funds in local school districts. They are:
 - o Greater Boston Regional Education Center

- o Northeast Regional Education Center
 - o Southeast Regional Education Center
 - o Central Massachusetts Regional Education Center
 - o Greater Springfield Regional Education Center
 - o Northwest Regional Education Center.
- Reporting directly to the Deputy Commissioner for Program Operations, the Special Education Appeals Bureau provides guidance and assistance to students, parents and local education agencies to ensure positive resolution of differences concerning educational plans for children with special needs.
 - Five divisions in the Department report to the Commissioner through the Deputy Commissioner for Program Operations:
 - School Facilities and Related Services
 - Occupational Education
 - Administration and Personnel
 - Special Education
 - Curriculum and Instruction.

School Facilities And Related Services Division

- The School Facilities and Related Services Division is responsible for providing school management, collaborative services, school building assistance, nutrition education and school food services to local school districts; the Division also conducts fiscal audits of the Department's State and federally funded programs.
- As shown in Exhibit II-6, the Division consists of the following five bureaus:
 - The Bureau of External Audit conducts fiscal audits of State and federal programs and grants.
 - The Nutrition Education and School Food Services Bureau administers and provides technical assistance for meal programs for schools, institutions, child care agencies, summer camps, and elderly persons; the Bureau also develops, promotes, and coordinates nutrition education.

SCHOOL FACILITIES AND RELATED
SERVICES DIVISION
CURRENT STRUCTURE



- o The Accounting Section reviews and processes program participant claims for reimbursements, performs audit work, reviews budgets, and provides fiscal and technical assistance to State and federally funded nutrition programs.
- o The Commodity Distribution Section administers food distribution programs across the Commonwealth, including surplus food the U.S. Department of Agriculture gives to eligible schools, institutions, summer camps, elderly and needy persons.
- o The Nutrition Education Section implements nutrition education and training programs, providing technical assistance and workshops in nutrition for school and child care food service personnel, teachers and administrators.
- o The School Food Services Section administers school lunch, special milk, and elderly feeding programs to eligible schools, institutions, and elderly individuals and provides technical assistance in regulations compliance and food service management.
- o The Special Food Services section administers child care food, summer food, and special milk programs in child care centers and camps and approves all new and existing programs.
- The School Building Assistance Bureau furnishes professional assistance pertaining to new school construction, renovations, and acquisitions, and recommends and processes grants for these projects.
- The School District Reorganization and Collaboration Bureau assists municipal and local school officials in establishing academic and vocational regional school districts, extending and expanding partial regional school districts, reorganizing school unions and forming educational collaboratives.
- The School Management Services Bureau helps local education agencies solve problems in school management and prepares guidelines and conducts workshops to assist collection of information for end-of-year and fall statistical reports.

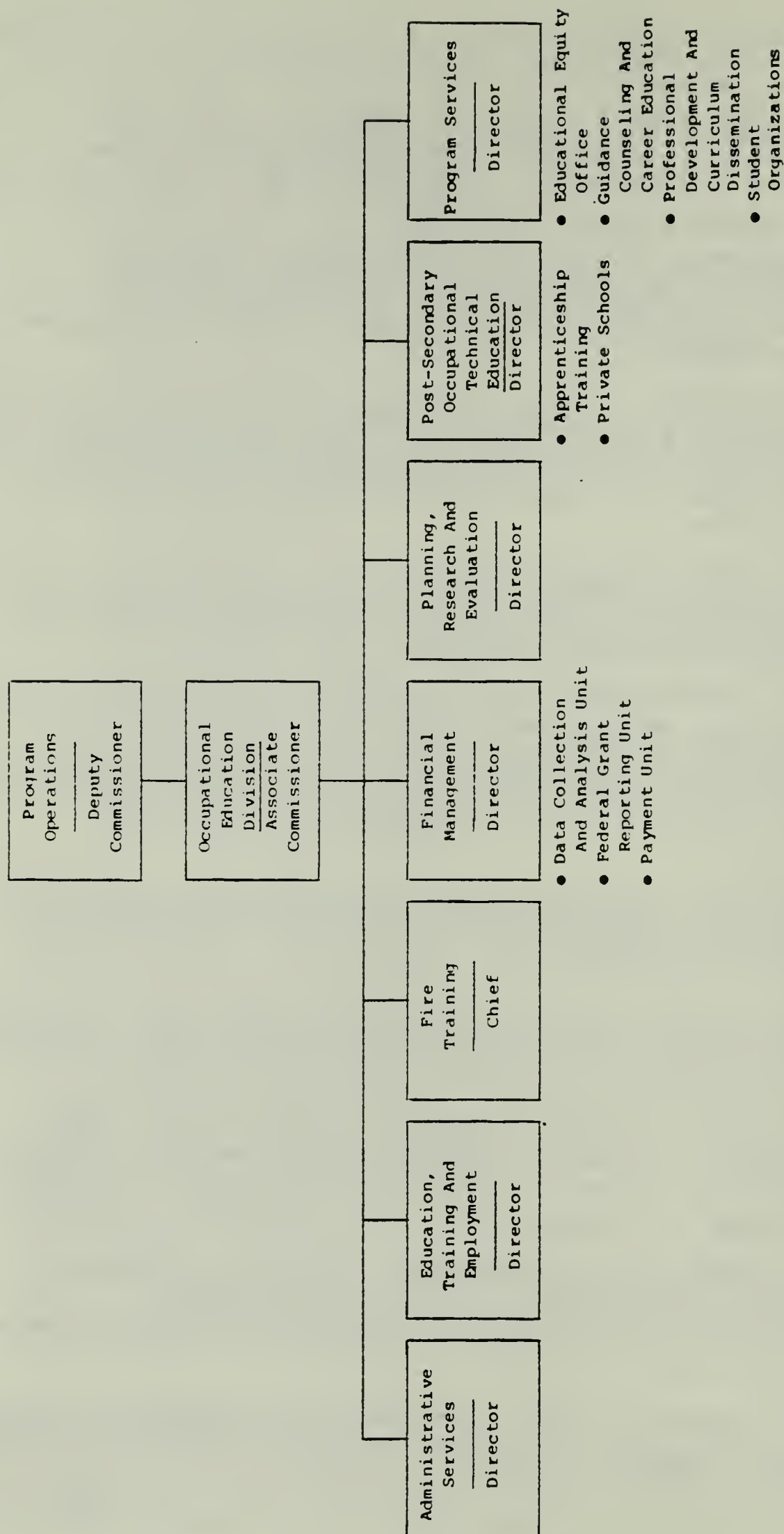
Occupational Education Division

- The Occupational Education Division oversees programming and the disposition of all federal funds for occupational education programs and activities.

- The Division has seven bureaus, as illustrated in Exhibit II-7.

- The Administrative Services Bureau directs and supervises operations and management activities, including development, implementation and coordination of all administrative functions of the Division.
- The Education, Training and Employment Bureau administers federal manpower training funds and programs, provides technical assistance, and oversees program quality.
- The Fire Training Bureau is responsible for recruiting and training fire officers as authorized by Chapter 842 of the Acts of 1971; the Massachusetts Fire Fighting Academy serves as the fire training agency for the Commonwealth.
- The Financial Management Bureau is responsible for all fiscal reporting, data collection, data analysis and data processing activities for the Division.
 - o The Data Collection and Analysis Unit collects and analyzes enrollments, staff and financial information for Chapter 74 (State-funded) and Public Law 94-482 (the Carl Perkins Vocational Education Act, federally funded) vocational education programs.
 - o The Federal Grant Reporting Unit processes reports and line item change requests for Public Law 94-482 programs.
 - o The Payment Unit is responsible for all accounting records of the Division and processes all payments to recipients of Public Law 94-482 grants.
- The Planning, Research and Evaluation Bureau has responsibility for the administration and coordination of planning, research and evaluation activities for the improvement of occupational and vocational programs.
- The Post-Secondary Occupational-Technical Education Bureau has responsibility for the development, coordination, and evaluation of post-secondary and adult vocational and technical programs.
 - o The Apprenticeship Training unit provides work-related classroom instruction through school districts.

OCCUPATIONAL EDUCATION DIVISION
CURRENT STRUCTURE



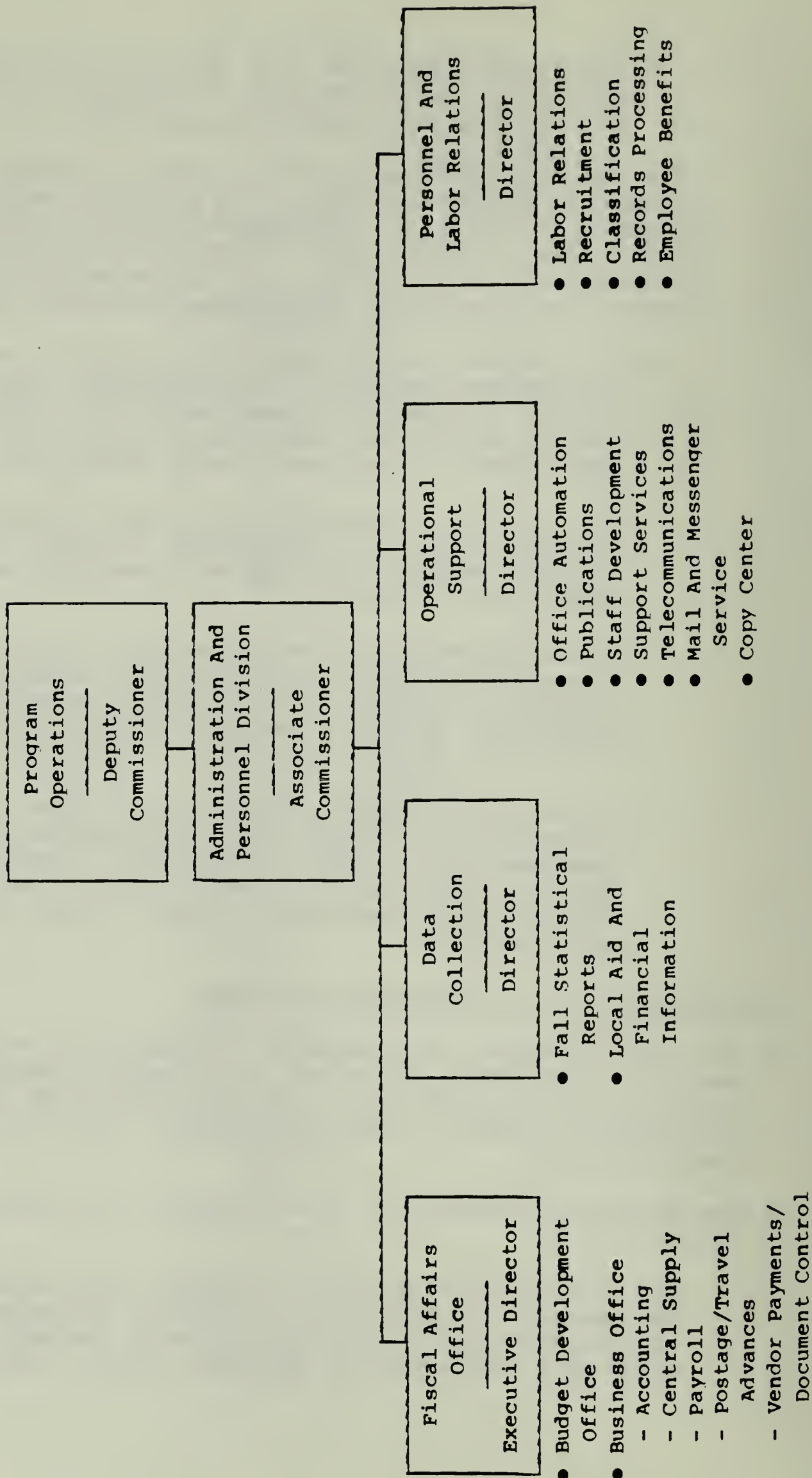
- o The Private Schools unit monitors, evaluates and processes applications for business, private trade, and private correspondence schools.
- The Program Services Bureau reviews, monitors and processes secondary Chapter 74 programs and P.L. 98-524 grants; in addition the Bureau provides technical assistance through regional education centers for the development, evaluation, and improvement of vocational education programs in Massachusetts school districts.
 - o The Educational Equity Office assists in program development and monitors compliance with State and federal regulations regarding civil rights, admissions plans, and affirmative action for individuals in nontraditional vocational programs.
 - o The Guidance Counseling and Career Education unit provides technical assistance to school districts in guidance counseling, career education and cooperative education.
 - o The Professional Development and Curriculum Dissemination unit serves school districts through checks on vocational instructor credentials, competency testing, teacher training projects, and curriculum dissemination.
 - o The Student Organizations unit serves vocational student organizations through creating leadership development programs, organizing competitive events, leading conferences to raise civic consciousness and disseminating information about vocational opportunities.

Administration And Personnel Division

- The Administration and Personnel Division directs and monitors department financial and property management, personnel administration, data processing and collection, information systems, staff development, and State aid administration.
- The Division consists of four bureaus, as illustrated in Exhibit II-8.
 - The Fiscal Affairs Office oversees the design, implementation and operation of the Department's budget development and monitoring process, reviews grant requests, and oversees Business Office operations.

Massachusetts Board And Department Of Education

ADMINISTRATION AND PERSONNEL DIVISION
CURRENT STRUCTURE



- o The Budget Development Office coordinates planning, development, and implementation of the Department budget and monitors expenditures of State and federal funds.
- o The Business Office prepares and processes payrolls, purchase orders, and vendor payments and maintains the official financial records of the Department.

The Accounting unit is responsible for financial accounting and reconciliation of all activity accounts.

The Central Supply unit provides office supplies from the Department's central supply room to divisions and bureaus.

The Payroll unit is responsible for preparation and processing of employee and consultant payrolls.

The Postage/Travel Advances unit is responsible for accounting and reconciliation of Department advances accounts.

The Vendor Payments/Document Control unit reviews and processes requisitions for all purchases of goods and services, vendor payments, employee travel vouchers, and other fiscal documents.

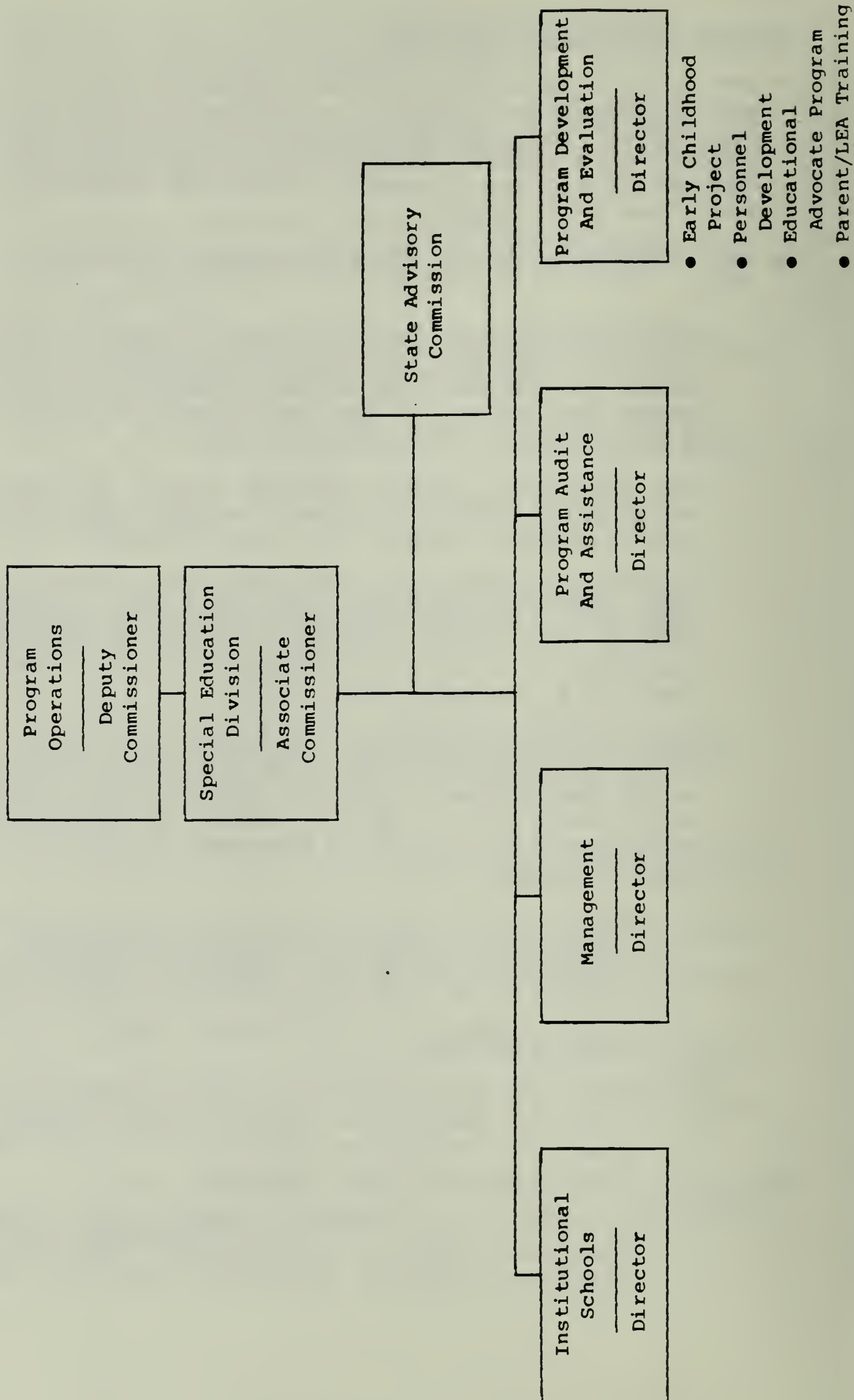
- The Data Collection and Processing Bureau collects annual financial and statistical reports from local school districts, calculates local aid and provides systems analysis, programming and data entry services.
 - o The Fall Statistical Reports unit collects and processes fall statistical reports and provides statistical information to the Department.
 - o The Local Aid and Financial Information unit calculates state aid for public schools and provides financial information to the Department.
- The Operational Support Bureau administers, coordinates and provides communications and staff development services for the Department.
 - o The Office Automation unit coordinates the acquisition and implementation of word processing and other related office systems Departmentwide.

- o The Publications unit provides editorial and technical assistance in preparing, producing, and disseminating agency publications.
- o The Staff Development unit plans, coordinates, and administers training and development programs for Department staff.
- o The Support Services unit provides telecommunications, courier and mail service, copy center, switchboard, and typesetting support Departmentwide.
- o The Telecommunications unit coordinates and provides telephone service to the Department.
- o The Mail and Messenger Service unit provides mail, courier and delivery services for Department staff.
- o The Copy Center unit provides copy service Departmentwide.
- The Personnel and Labor Relations Bureau maintains staffing, classification, and other personnel and management information and coordinates and advises management on labor relations.
 - o The Labor Relations unit provides technical assistance to managers in labor relations, civil service, affirmative action, and other personnel matters and conducts personnel training for managers.
 - o The Recruitment unit is responsible for advertising, recruiting, and hiring for all Department vacancies.
 - o The Classification unit analyzes job specifications and position duties and responsibilities, and recommends Department positions on appeal requests.
 - o The Records Processing unit maintains employee records, processes employee transactions, prepares personnel reports, and maintains the automated payroll and Personnel Management Information System (PMIS).
 - o The Employee Benefits unit processes all reports and forms for employee insurance, industrial accidents, and retirement.

Special Education Division

- The Special Education Division implements State and federal special education programs, allocates and monitors Public Law 94-142 funds (which ensures the provision of free public education to special needs children throughout the Commonwealth), and recommends State and federal special education legislation.
- The Division consists of five bureaus, as shown on Exhibit II-9.
 - The Institutional Schools Bureau provides State and federal funds and technical assistance for special education services to children residing in institutions under the control of the Departments of Mental Health, Public Health, and Youth Services.
 - The Management Bureau develops fiscal policies, provides accounting, budget planning, control, administrative and management support for the Division.
 - The Program Audit and Assistance Bureau monitors special education programs, provides technical assistance to public and private schools, approves special education programs at schools and conducts on-site compliance reviews in selected districts.
 - The Program Development and Evaluation Bureau administers special education grant programs, directs staff development, provides assistance in improving self-evaluation of special education programs and develops early childhood programs for pre-schoolers with special needs.
 - The Early Childhood Project unit, through regional specialists, provides Statewide technical assistance, in-service training, onsite program consultation, and mini-grants to programs serving 3, 4 and 5 year-old children with special needs and their families.
 - The Personnel Development unit provides assistance with the design and implementation of special education in-service training for local school districts and other agencies.
 - The Educational Advocate Program unit selects and provides training to educational advocates who represent children in special education programs.

SPECIAL EDUCATION DIVISION
CURRENT STRUCTURE

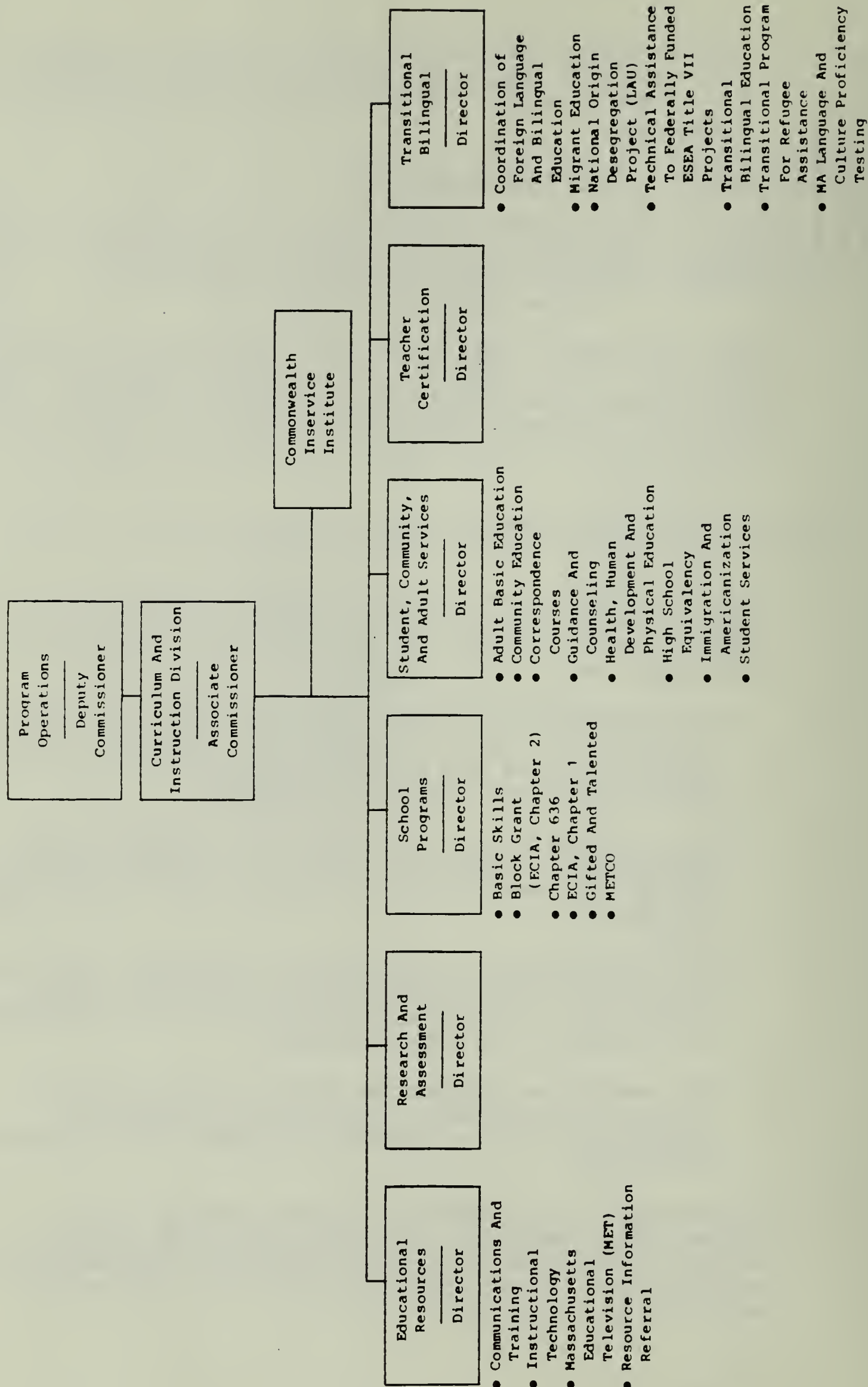


- o The Parent/LEA Training unit conducts workshops throughout the Commonwealth to inform parents and school personnel about the Chapter 766 hearing process.

Curriculum and Instruction Division

- The Curriculum and Instruction Division is responsible for overseeing the planning, coordinating, budgeting, accounting, staffing, and personnel evaluations of instructional programs Departmentwide.
 - The Commonwealth Inservice Institute reports to the Associate Commissioner of the Division, and administers school-based, participant-controlled in-service education programs, and provides technical assistance for specific programs through appropriate regional centers.
- The Curriculum and Instruction Division consists of six bureaus, as illustrated in Exhibit II-10.
 - The Educational Resources and Television Bureau conducts programs in use of curriculum resource referrals, instructional television, instructional technology and resource-related publications.
 - o The Communications and Training unit coordinates outreach training and promotion related to major programs areas and produces and distributes promotional and resource materials.
 - o The Instructional Technology unit assists other Department of Education units and school districts in the implementation of instructional technology programs.
 - o The Massachusetts Educational Television (MET) unit administers and provides over 1,000 educational television programs and supporting print materials to schools in the Commonwealth.
 - o The Resource Information Referral unit offers technical assistance in finding resources and descriptions of successful programs and curriculum practices.
 - The Research and Assessment Bureau develops and disseminates tests for all skill areas of the Basic Skills Improvement Policy and maintains information on national and Statewide College Entrance Examination Board (SAT) test scores.

CURRICULUM AND INSTRUCTION
CURRENT STRUCTURE



- The School Programs Bureau administers and provides technical assistance to local school districts for major education programs, including Title I (ECIA, Chapter 1), Title II and Title IV (ESEA, Chapter 2), METCO, Chapter 636, Gifted and Talented, and Basic Skills.
 - o The Basic Skills unit assists local school districts in teaching reading, writing, mathematics, speaking, and listening.
 - o The Block Grant (ECIA, Chapter 2) unit provides funding and technical assistance to local school districts under a federal block grant representing the consolidation of many individual programs.
 - o The Chapter 636 unit recommends funding and provides technical assistance to larger cities for desegregating local schools and to other communities to support voluntary integration efforts.
 - o The ECIA, Chapter 1 unit administers programs for educationally disadvantaged children from preschool through grade twelve.
 - o The Gifted and Talented unit encourages local education agencies to identify gifted and talented students and provides programs to support those students' educational needs.
 - o The METCO unit recommends funding and technical assistance for alleviating racial isolation in selected cities by assigning urban students to suburban communities for their schooling.
- The Student, Community, and Adult Services Bureau administers programs and provides technical assistance in Adult Basic Education, Community Education, Health Education, Human Development, and Physical Education, Student Services, High School Equivalency (GED), correspondence courses, guidance and counseling, and Immigration and Americanization.
 - o The Adult Basic Education unit implements Board policy on adult education improvement and administers State and federally funded programs.
 - o The Community Education unit implements Board of Education policy on the expansion and improvement of community education and provides technical assistance to the Community Education Advisory Council and school-community collaboration projects.

- o The Correspondence Courses unit administers correspondence courses and maintains records of students in such courses.
- o The Guidance and Counseling unit provides technical assistance to schools for school guidance and counseling programs.
- o The Health, Human Development, and Physical Education unit administers programs in community health education and human development.
- o The High School Equivalency unit administers the approval process for General Educational Development (GED) recipients and maintains official records of GED awards and test scores.
- o The Immigration and Americanization unit provides technical assistance to immigrants seeking U.S. citizenship.
- o The Student Services unit provides leadership training to the Student Advisory Councils that advise the Board of Education.
- The Teacher Preparation, Certification and Placement Bureau issues teaching certificates to qualified applicants, reviews and recommends approval of teacher preparatory programs in Massachusetts colleges and universities, and provides placement information for registered applicants.
- The Transitional Bilingual Education Bureau administers, monitors and provides technical assistance for State and federal bilingual education programs, assistance for national origin desegregation, and programs for refugees and children of migratory workers.
 - o The Coordination of Foreign Language and Bilingual Education section promotes the coordination of education and services to foreign and limited English-proficient students.
 - o The Migrant Education unit offers supplemental instruction and other educational services to children of migratory workers.
 - o The National Origin Desegregation Project unit provides technical assistance and training to local school districts seeking to voluntarily implement desegregation and equal benefits programs.

- o The Technical Assistance for Federally Funded ESEA Title VII Projects unit provides educational and support services for minority students, including bilingual students, disseminates information, and coordinates technical assistance to bilingual education programs.
- o The Transitional Bilingual Education unit monitors and provides technical assistance to local school districts implementing provisions of the State Transitional Bilingual Education Act and verifies language and culture proficiencies of bilingual, foreign language, and English-as-a-second language teachers.
- o The Transitional Program for Refugee Assistance unit monitors and provides technical assistance to local school districts enrolling refugee children.
- o The Massachusetts Language and Culture Proficiency Testing unit certifies teachers of transitional bilingual education, English-as-a-second language, and modern foreign languages.

ARRANGEMENT OF THIS REPORT

This report is arranged in eight chapters, as follows:

- I - Executive Summary - outlines the major conclusions and recommendations of the study.
- II - Introduction (this chapter).
- III - Mission, Roles, and Responsibilities - recommends needed adjustments in the mission, roles, and responsibilities of the Board and the Department.
- IV - Operations - makes recommendations regarding Board and Department operations.
- V - Organization and Staffing - makes recommendations regarding the Department's organizational structure, staff competencies, and levels of staffing.
- VI - Working Relationships - makes recommendations to improve working relationships among the Board, the Department, the Office of the Governor, the Legislature, local school districts, advisory groups, and the public.

- VII - Funding - lists the costs and savings of implementing the study's recommendations and the requirements of Chapter 188.
- VIII - Implementation Plan - describes approaches, tasks, responsibilities and a schedule for implementing the recommendations in this report.

III - MISSION, ROLES, AND RESPONSIBILITIES

III - MISSION, ROLES, AND RESPONSIBILITIES

This chapter presents recommendations relating to the mission, roles and responsibilities, and the authority of the Board and Department of Education.

MISSION

The Board Should Take Steps To Assert Leadership, Clarify Its Governance Role, And Promote A Consistent Approach To Carrying Out Its Mission

- The Board's efforts to assert leadership are hindered because:
 - It has not effectively communicated the purposes that guide its actions
 - It has not adequately defined the approach its staff should take when interacting with local school districts.
- 1. The Board Of Education Should Adopt A Mission Statement
 - Currently, no single statement succinctly summarizes the overall goals and purposes that guide the Board and the Department's actions.
 - State statutes require the Board to "support, serve, and plan" public education in the Commonwealth of Massachusetts but do not provide direction on how the Board should fulfill these responsibilities.
 - Likewise, the Educational Goals for Massachusetts, adopted by the Board in 1971, provide a philosophical foundation for Board activities but do not provide guidance on what the Board should do to achieve these goals.
 - On the other hand, the Board's Continuing Objectives help to guide Department action and communicate Board priorities.
 - Since they are reviewed and evaluated at approximately five-year intervals, however, they vary with changing circumstances and shifting priorities and perspectives of different Board members.

- o These changing objectives should not substitute for a mission statement that should serve as a basic framework to guide Board and Department actions.
- The absence of a mission statement has contributed to the perception that the Board of Education does not provide effective leadership.
 - Many local school officials believe that the Board does not have a clear vision of its purpose and its overall goals for education in the Commonwealth.
 - Similarly, many Department officials believe that their daily activities do not support overall goals and objectives established by the Board.
- A Board of Education mission statement should state the Board's purposes, provide a philosophical framework within which to set policy and make decisions, and furnish overall direction to Department activities.
- Effective mission statements articulate the overall purposes of an organization and reflect its values.
 - The most effective statements:
 - o Are short and succinctly worded
 - o Clearly state the overall purposes for which the organization is established
 - o Define the organization's long-term objectives
 - o Provide flexibility for achieving those objectives
 - o Reflect the underlying principles and values of the organization.
 - A proposed mission statement for the Board of Education is presented in Exhibit III-1.

2. The Board Should Adopt a Statement Of Principles

- Since the Board has not adopted a statement of principles to guide the Department in achieving Board objectives, approaches vary.
 - For example, approaches used to monitor compliance with State and federal regulations vary considerably.

Massachusetts Board and Department of Education

PROPOSED MISSION STATEMENT

The Massachusetts Board of Education's mission is to support, serve, and plan public education in the Commonwealth of Massachusetts, implement State and federal education mandates, provide effective leadership, establish policies for the State Department of Education and through the Commissioner to direct the activities of the Department to ensure equality of educational opportunity and excellence in instruction and educational attainment in preschool, primary, secondary, vocational, adult and private education activities throughout the Commonwealth.

- o Some Department employees only monitor programs to see if they are in strict compliance with State and federal regulations and reprimand schools that violate these regulations.
- o Other employees monitor local school district programs to evaluate their overall quality and are reticent to reprimand schools that do not comply with State and federal regulations.
- o Still other Department employees focus their monitoring efforts to gather information that will inform their technical assistance efforts, yet they are willing to reprimand schools that are not in compliance with State and federal regulations when they identify deficiencies.
- Department employees also vary in their approaches to providing technical assistance.
 - o Some employees furnish technical assistance on the basis of personal assessments of which programs will most benefit local school districts.
 - o Other employees ask local school districts what services will be most beneficial to them and then attempt to provide those services.
 - o Other employees work with local school districts to identify needs and also provide information on programs that may help to address those needs.
- Approaches to selection of specialists to provide technical assistance also vary.
 - o Some Department employees prefer to use specialists employed by the Department to conduct workshops and furnish other technical assistance.
 - o Other employees prefer to work as brokers of information and services, and use specialists from both inside and outside the Department to provide technical assistance.
- The excessive emphasis some employees place on strict compliance with regulations and their refusal to recognize unique needs and circumstances of local school districts creates resentment and distrust among some local school officials.

- The fact that some Department employees do not take the time to understand the needs and requirements of school districts when monitoring compliance with federal and State regulations or providing technical assistance causes some local officials to question the Board's commitment to local autonomy.
- Moreover, when employees do not consider the efforts local school officials make to comply with the intent of federal and State regulations, these officials often mistrust Department employees' later efforts to provide technical assistance.
- The Department, therefore, should adopt a set of principles to guide the approach the Department's employees should use to monitor compliance with State and federal regulations and to provide technical assistance to local school districts.
 - A proposed Statement of Principles is presented in Exhibit III-2.

The Board Should Further Assert Its Leadership By Establishing An Integrated Planning Process That Will Communicate Board Priorities And Ensure That Those Priorities Are Reflected In Department Activities

- The Board should establish an integrated planning process that effectively coordinates and integrates existing short-term and long-range budgeting and operational planning efforts and ensures that Board priorities are reflected in Department activities.
- Board members and Department officials have recognized the need for a coordinated planning effort and the components of an effective planning system are already in place.
 - The Continuing Objectives that the Board reviews and evaluates at approximately five-year intervals serve to effectively communicate Board priorities and guide Department action.
 - o These objectives are reflected in the Commissioner's annual Operational Plan, which details particularly important activities for the Commissioner and Department staff.
 - o All divisions and regional centers also prepare annual operational plans that describe how specific provisions of the Commissioner's Operational Plan will be implemented.

Massachusetts Board and Department of Education

PROPOSED STATEMENT OF PRINCIPLES

The Board of Education is committed to the following principles:

- Equal educational opportunity shall be provided each student within the Commonwealth.
- Services, monitoring and technical assistance should be designed with the assumption that most school districts are making good faith efforts to comply with State and federal regulations.
 - All school districts should be monitored for compliance, but degrees of monitoring, assistance and other efforts to ensure compliance should vary, depending on the extent to which individual districts voluntarily comply.
- State assistance efforts should respect the autonomy of the local decision-making process.
- State assistance efforts should build on local school officials' knowledge of the educational needs of local students.
- Activities and approaches used in State assistance efforts should vary with circumstances.
- The Commonwealth should provide assistance to school districts in the most cost-effective manner possible.
- Students, parents, and other citizens should be involved in the decision-making process at both the State and local levels.

- The Board also annually approves a set of budget priorities identifying particularly important activities for the coming year.
- Efforts to integrate these components into a coordinated planning system have not been completely effective, however.
 - Exhibit III-3 outlines the relationship among the Board's Continuing Objectives, the Board's budget priorities, and the Commissioner's Operational Plan.
 - This exhibit shows that while some annual priorities of the Department budget and objectives of the Commissioner's Operational Plan support the Board's Continuing Objectives, they are frequently not directly linked to specific Board objectives.
 - For example, one of the defined objectives of the Operational Plan is to "support the improvement of curriculum and instruction in academic content and in basic and higher-order skills," which supports two Continuing Objectives: "follow up and strengthen basic skills improvement" and "promote greater quality and effectiveness in learning."
 - Funds allocated under the budget priority "improve student testing and curriculum assessment to assist and encourage school improvement" support these two Continuing Objectives as well.
 - This budget priority and Operational Plan objective could easily be reworded to tie directly to the Board's Continuing Objectives.
 - Other objectives of the Operational Plan, however, do not support specific Continuing Objectives.
 - For example, the Operational Plan objectives of "improve guidance and counseling services" and "gather and report information on local and national trends in education" do not address any of the Board's Continuing Objectives.

However, these sample objectives do support the Board's mission and are, therefore, appropriate undertakings.

- Some of these Operational Plan objectives support new legislative initiatives which are not reflected in the Board's Continuing Objectives.

Massachusetts Board of Education

BOARD OF EDUCATION CONTINUING OBJECTIVES AS REFLECTED
IN THE DEPARTMENT OF EDUCATION'S BUDGET AND ACTIVITIES

Board of Education Continuing Objective	Department Budget FY 1986			Commissioner's Operational Plan FY 1986	
	Priority	Purpose	Allocation	Objective	Task
Follow up and strengthen basic skills improvement	Improve student testing and curriculum assessment to assist and encourage school improvement	Basic Skills Testing	\$ 603,000	Support the improvement of curriculum and instruction in academic content and in basic and higher-order skills	Conduct 50 curriculum seminars Initiate federally funded program to strengthen curriculum and instruction in mathematics and science Increase the number of resource banks on language arts and equity to 12 Conduct a statewide curriculum assessment in three areas: reading, mathematics, and science Conduct Basic Skills Improvement tests in reading, writing, mathematics and listening at the early elementary, late elementary, and secondary levels in all school districts
	Promote greater quality and effectiveness in learning	Improve student testing and curriculum testing assessment to assist and encourage school improvement	Curriculum Assessment	Support the improvement of curriculum and instruction in academic content and in basic and higher-order skills	Initiate federally funded program to strengthen curriculum and instruction in foreign language Increase the number of resource banks on language arts and equity to 12 Analyze curriculum survey data and use this information to assist school districts in their joint efforts to improve curriculum
	Broaden implementation of the Board of Education Policy on occupational education			Improve the education of special needs students	Provide assistance to school districts in specific curriculum areas, curriculum development and evaluation, and instructional strategies, on request Direct \$1 million to school districts to promote the expansion of occupational education opportunities for special education students at the secondary level in comprehensive high schools and collaboratives

Board of Education
Continuing
Objective

Department Budget FY 1986
Priority Purpose Allocation

Commissioner's Operational Plan FY 1986
Objective Task

Implement the Board of Education's policy on occupational education

Monitor 567 programs

Provide leadership for implementation of the Unified Plan for Vocational/Occupational Education in the Boston Public Schools

Develop competency-based vocational education in three new program areas: graphic arts, heating, ventilating, and air conditioning, and plumbing and pipe-fitting

Promote equity in the recruitment and retention of minority, female, limited English-proficient, handicapped and disadvantaged students in occupational education programs and schools

Review the three-year State plan in vocational education and make recommendations to the Board of Education

Review the laws, regulations, and policies governing vocational education and develop appropriate legislative and/or policy proposals

Improve guidance and counseling service

Conduct a Statewide needs assessment for counselling services

Make \$920,000 in vocational education funds available to all school districts to improve guidance and career decisions-making skills of students

Support the Job Training Partnership Act

Work with state agencies and offices to develop the education components of partnership programs

Support the improvement of curriculum and instruction in academic content and in basic and higher-order skills

Initiate federally funded programs to strengthen curriculum and instruction in the use of computers

Encourage understanding and instructional use of technology

Board of Education
Continuing
Objective

Department Budget FY 1986

Priority Purpose Allocation

Promote equality of educational opportunity

Provide additional state aid for public schools equitably distributed to help poor communities and those with concentrations of high cost students, such as special needs, bilingual and disadvantaged

Increase Chapter 636 Funding \$1,327,000

Commissioner's Operational Plan FY 1986

Objective Task

Improve the education of special needs students

Visit nine school districts where there has been evidence of disproportionate placement of minority students in special education programs

Award \$3 million to school districts and collaboratives to support the development and improvement of early childhood special education

Promote early childhood and parent education

Develop a draft policy statement on early childhood education

Support and evaluate pilot kindergarten programs which are currently underway

Strengthen special education program evaluation practices

Provide training and technical assistance to school districts interested in using recommended special education program evaluation instruments

Pilot test an electronic special education information-sharing system

Test a computerized mail and electronic bulletin board system for sharing information on special education programs and resources among the Department and selected school districts

Support school committee improvement plans guarantee equality of opportunity for all students

Counselling And School Climate Chapter 622

\$ 415,000

Gifted And Talented

\$ 101,000

Comprehensive School Data Collection

\$ 322,000

\$2,480,000

Implement the Board of Education's policy on occupational education

Promote equity in the recruitment and retention of minority, female, limited English-proficient, handicapped and disadvantaged students in occupational/vocational education schools and programs

Board of Education
Continuing
Objective

Department Budget FY 1986		
Priority	Purpose	Allocation
Provide an opportunity for every child to begin school physically, emotionally, and developmentally ready to benefit from formal instruction	Early Childhood Incentive Grant Program	\$ 461,500

Commissioner's Operational Plan FY 1986
Objective Task

Increase the effectiveness of transitional bilingual instruction	Assess and recommend changes in the Board's transitional bilingual education program regulations
Fulfill responsibilities in the Boston school desegregation case	Continue to monitor compliance with and assist in resolving disputes under the Boston school desegregation orders
Reduce minority isolation in schools	Provide assistance in 14 urban school systems in developing, modifying, or implementing race desegregation plans
Reduce prejudice in instructional materials and programs	Award grants to six racially diverse schools to develop and implement programs to improve racial climate, develop character and citizenship, and reduce racial and religious bias
	Disseminate materials and resources designed to discourage racial, ethnic, religious, and sex-role stereotyping and to increase awareness of minority and women's history and literature
Provide support for refugee students	Provide technical assistance to eight school systems with large numbers of refugee students
Expand parent and student choice of educational options	Arrange and monitor program for 70 schools to attract students on a voluntary non-residential basis to reduce segregation in schools
Support school program improvement in desegregation and provide technical assistance	Provide funding and technical assistance in developing and maintaining special instructional programs and services that encourage and enhance racial and ethnic integration
Implement the affirmative action policy	Give priority to affirmative action in Department hiring and contracting activities

Board of Education
Continuing
Objective

Department Budget FY 1986

Commissioner's Operational Plan FY 1986

Priority Purpose Allocation

Objective Task

Improve the effectiveness of educational personnel	Support improved instruction through better training, selection, evaluation and support of teachers	Full Implementation Of Chapter 847	\$ 264,500	Promote equity in the enforcement of laws, regulations, and policies related to student conduct	Revise preliminary guidelines for student conduct codes Submit policy on the discipline of special education students
		Commonwealth In-Service Institute And Leadership Academy	\$ 587,000	Improve in-service education	Expand opportunities for in-service education for teachers and administrators through the Commonwealth In-Service Institute and the Leadership Academy
		Teacher Evaluations	\$ 1,200,000	Study the effectiveness of teacher preparation programs and certification regulations	Study the effectiveness of the new certification regulations and procedures focusing on competency testing, competency assessment, and projected teacher shortages
Support reform of the tax structure of school finance and improve state aid for education	Provide additional state aid for public schools equitably distributed to help poor communities and those with concentrations of high cost students, such as special needs, bilingual, and disadvantaged	Increase State Aid To 60 Per Cent Level	\$614,200,000	Support increased and equitable financing for education	Continue to actively support efforts to achieve the Board's goal of 60 per cent state aid to school districts Provide data and assistance to the Department of the Attorney General in the school finance suit (<u>Webby vs Dukakis</u>)
Encourage student, parent and citizen involvement and community collaboration				Promote community and adult education	Expand and improve educational services to adult learners most in need Promote and strengthen partnerships among schools, industries, colleges, and other organizations

Board of Education
Continuing
Objective

Department Budget FY 1986

Commissioner's Operational Plan FY 1986

Priority Purpose Allocation

Promote leadership
in educational
governance through
development of
cooperative efforts
with local school
officials as author-
ized by Chapter 15

Support improvement of
the management of schools
and districts School Building
Assistance Bureau \$ 109,000
Incentive Aid Program \$ 90,000
Management Services

Objective Task

Increase public under-
standing of elementary,
secondary, and adult
education Develop and disseminate a handbook of
information on Board of Education
policies, regulations, and related
state and federal statutes

Strengthen and support
regional school
districts Work with superintendents of regional
school districts to develop policy
recommendations and legislative
proposals on issues affecting region-
alization

Support and strengthen
rural and small school
districts

Establish a Rural Schools Task Force
to identify concerns unique to rural
and small schools districts

Strengthen and promote
cost-effective business
practices

Assist 25 selected school districts
to improve their pupil financial
accounting and reporting systems and
hold 12 workshops to assist school
districts in implementing innovative
and cost-effective business practices

Assist with school
transportation programs

Develop and make available to school
districts a computerized transporta-
tion routing system

Strengthen school
district management
practices

Provide technical assistance to
school districts in management areas
such as pupil transportation and
facilities improvement

Enhance Board of
Education and public
leadership in the
climate of the 1980s

Monitor 79 school districts and
collaboratives on site and conduct
120 desk reviews

Review and recommend revisions of the
Chapter 766 regulations

No objectives given

Audit 80 private school programs and
propose modification of private
school regulations

Continue monitoring the Lynn and Boston public schools

Award \$3 million to school districts and collaboratives to support the development and improvement of early childhood special education programs

Assist school districts in developing programs for gifted and talented students

Support substance abuse prevention grants by making funds available to school districts for program development and teacher training grants

Monitor new legislation which, if enacted, would expand the school breakfast program

Examine local and national trends that affect education

Work with public and private agencies to plan a comprehensive system of services for children with special needs

Prepare a progress report on the implementation of the Board's Policy on Public School Education, Youth, and Employment

Prepare a report on the race and sex of the Commonwealth Scholars

Continue to encourage the development of programs for gifted and talented students

Provide support for substance abuse prevention education

Expand the school breakfast program

Gather and report information on local and national trends in education

Plan early childhood services for children with special needs

Implement the Board's policy on public school education, youth, and employment

Continue to work with the Board of Regents of Higher Education in implementing the Commonwealth Scholars Program

Board of Education
Continuing
Objective

Department Budget FY 1986
Priority Purpose Allocation

Commissioner's Operational Plan FY 1986
Objective Task

Conduct a management study of the Board and Department	Conduct a management study which will examine the Board's and Department's missions, organization and staffing, and activities
Develop a long-range plan for implementing the Board of Education's goals for education in Massachusetts	Review the ten educational goals for Massachusetts
Provide orientation and in-service training programs	The Division of Administration and Personnel will coordinate Department orientation and in-service training programs
Implement computer based management information system	Oversee computerized analysis of fiscal aid formulas resulting from the new educational reform legislation
	Automate the Department's food service record keeping system
	Develop and implement a computer based information system to meet emerging planning and policy needs

- o Therefore, the Board should either expand its Continuing Objectives to include such appropriate Operational Plan objectives or it should discuss whether the Commissioner's Operational Plan should include objectives that are not part of the Board's Continuing Objectives.
- Also, some important ongoing work conducted by the Department which supports Continuing Objectives is not included as part of the Commissioner's Operational Plan.
- In addition, the development of the Commissioner's Operational Plan is not effectively coordinated with the development of the Department's budget.
 - Although the Board establishes annual budget priorities, these priorities are not clearly reflected in the Commissioner's Operational Plan.
 - Since the Department does not develop a program budget, coordinating planning and budgeting activities is more difficult.
 - o Programs are not evaluated as part of the budgeting process to establish priorities among them.

No attempt is made to determine whether they are still needed and whether programs are achieving their objectives cost-effectively.
 - o Moreover, neither the budget document nor the Commissioner's Operational Plan includes detailed information on the variety of programs offered by the Department, their cost, the number of employees required to operate them, and the objectives and measures used to evaluate performance.
- Planning efforts are made more difficult because the Board does not effectively communicate its priorities.
 - The Board's annual budget priorities communicate priorities for the coming year.
 - Since these annual priorities are not directly tied to the Board's Continuing Objectives, however, Department staff and local school district officials are uncertain about the Board's long-range priorities.
 - The only way observers can ascertain Board priorities is by reviewing Department activities and seeing which Continuing Objectives receive the most support.

- Exhibit III-3 shows that the level of support for specific Continuing Objectives reflected in the Commissioner's Operational Plan and the Board's FY 1986 budget priorities varies considerably.
 - o The importance of "promoting equality of educational opportunity" is clearly reflected in both the Commissioner's Operational Plan and the Board's budget priorities.
 - o The Continuing Objective, "broaden implementation of the Board of Education policy on occupational education," on the other hand, is supported in the Commissioner's Operational Plan but not in the Board's annual budget priorities.
 - o Other Continuing Objectives, such as "encourage understanding and instructional use of technology," and "encourage student, parent and citizen involvement and community collaboration," receive little support in the Commissioner's Operational Plan and no support in the Board's annual budget priorities.
- The absence of clear, long-term priorities hinders the Board's ability to lead.
 - o Most effective leaders focus efforts on relatively few high priority items and repeatedly communicate their commitment to these priorities.
- Advisory groups, Bureau Directors, and regional center staff are not sufficiently involved in the planning and budgeting process.
 - Regional Educational Councils and regional center staff best understand the needs of local school districts, yet they do not play a central role in the planning and budgeting process.
 - Bureau Directors and regional center staff, who understand the staffing and resource requirements of programs, are not consulted frequently enough as the Commissioner's Operational Plan and the annual budget are prepared.
- Exhibit III-4 suggests an integrated planning process that builds on current practice and formally defines the responsibilities of the Board, Commissioner, central office staff, regional center staff, and advisory groups.

Massachusetts Board And Department Of Education

RECOMMENDED INTEGRATED PLANNING PROCESS

<u>Task</u>	<u>Responsibility</u>	<u>Scope And Timing</u>
Identify needs	Board and Commissioner identify issues of importance and concern; regional centers and Regional Education Councils should seek input from local education agencies on local needs and priorities.	Long-term needs should be identified every five years; local needs relating to specific Continuing Objectives should be identified annually.
Establish objectives and priorities	Regional center staff and Regional Education Councils should describe issues and suggest general objectives; Bureau Directors and other central office staff should assess resources and needs and develop refined objectives; the Commissioner should recommend objectives and priorities to be reviewed and approved by the Board.	Continuing Objectives should be established every five years; annual objectives based on these Continuing Objectives should be established annually.

Massachusetts Board And Department Of Education

RECOMMENDED INTEGRATED PLANNING PROCESS

<u>Task</u>	<u>Responsibility</u>	<u>Scope and Timing</u>
Develop budgets/operational plans for each objective	The Commissioner should develop guidelines on program development; Bureau Directors and other central office staff, using input from regional centers, should develop program proposals and initial cost estimates; regional centers and Regional Education Councils should review the proposals; the Commissioner should recommend an overall budget/operational plan to be reviewed in detail and then approved by the Board.	Five-year budgets and operational plans for each division should be reviewed and revised annually; annual budgets and operational plans should include objectives, programs to carry out the objectives, resources required, activities planned, and results intended.
Administer budgets and operational plans	The Commissioner should assign responsibility for administering each program, monitor progress, and evaluate results based on formal objectives stipulated in the budgets and operational plans for each division; divisions should prepare quarterly and annual performance reports; the Board should monitor overall progress and evaluate the performance of the Commissioner.	Informal reviews of progress made toward achieving budget and operational plan objectives should be undertaken quarterly; comprehensive evaluations should take place yearly; the effectiveness of each program should be examined at this time, and the results of this evaluation should inform the development of budgets and operational plans for the coming year.

Massachusetts Board And Department Of Education

RECOMMENDED INTEGRATED PLANNING PROCESS

Develop budgets/operational plans for each objective

The Commissioner should develop guidelines on program development; Bureau Directors and other central office staff, using input from regional centers, should develop program proposals and initial cost estimates; regional centers and Regional Education Councils should review the proposals; the Commissioner should recommend an overall budget/operational plan to be reviewed in detail and then approved by the Board.

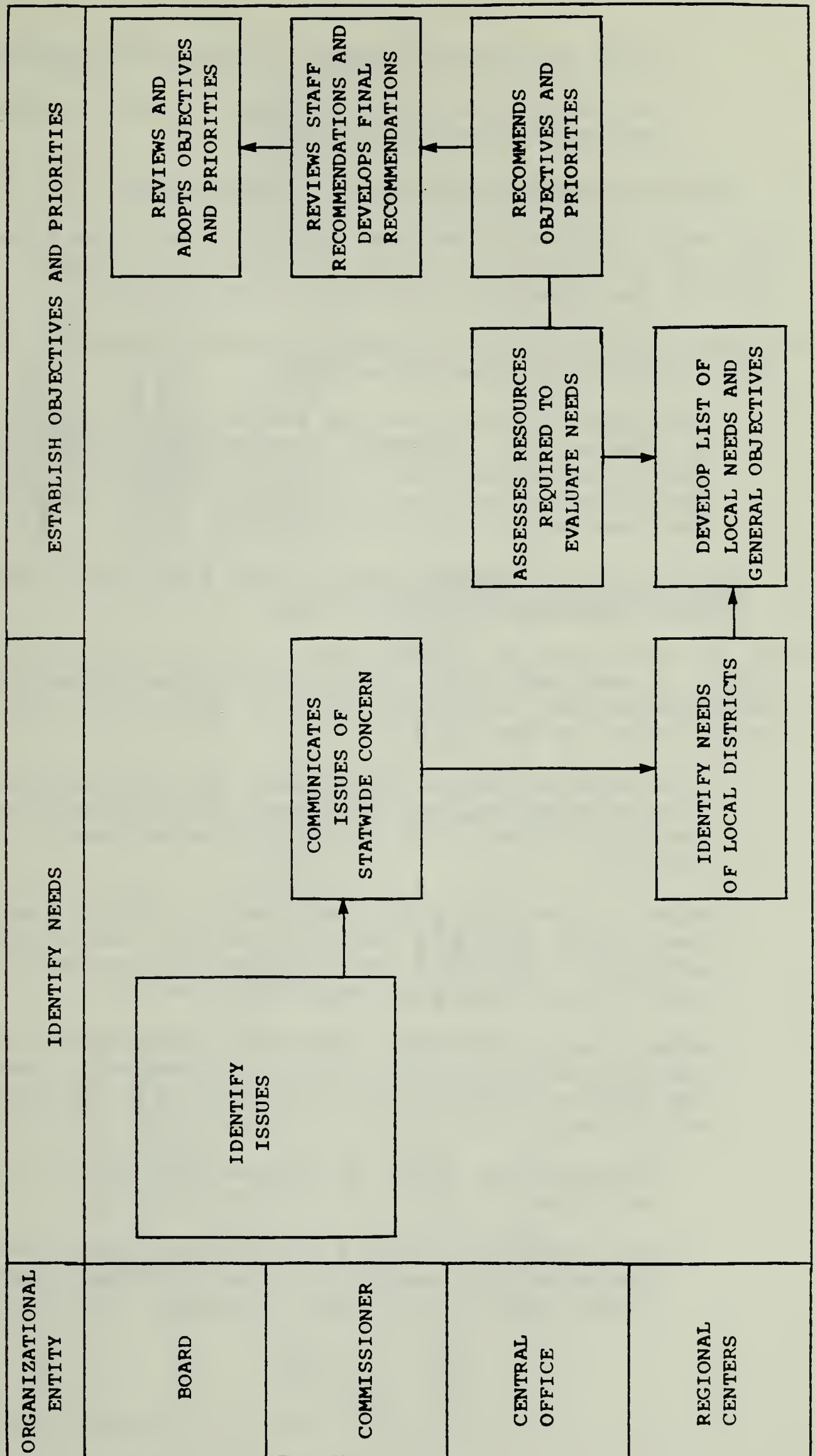
Five-year budgets and operational plans for each division should be reviewed and revised annually; annual budgets and operational plans should include objectives, programs to carry out the objectives, resources required, activities planned, and results intended.

- The Deputy Commissioner for Program Operations should be assigned responsibility for ensuring the effective implementation of this process.
- This planning process is divided into four cycles of activity:
 - o Develop long-range objectives and priorities
 - o Develop annual objectives and priorities
 - o Develop annual budgets and operational plans and revise long-range budgets and operational plans
 - o Administer budgets and operational plans.

1. Develop Long-Range Objectives And Priorities

- In the first cycle of planning, which is diagrammed in Exhibit III-5, needs should be defined, five-year objectives should be set, and priorities should be established.
 - As a first step in this process, the Board working with the Commissioner should identify issues of particular interest and concern.
 - o Legislators and the Governor's Office's staff should be consulted as part of this first step.
 - Next, the regional center directors should compile a list of needs and develop a set of general objectives for the central office and the Commissioner to consider.
 - o This list should be based on discussions with local education agencies and advisory groups about their plans, needs, and priorities.
 - Bureau Directors and other central office staff should assess the resources required to address these needs and should submit a refined list of objectives with suggested priorities to the Commissioner.
 - After the Commissioner reviews this list, he or she should recommend a set of objectives and priorities to the Board.
 - The Board should then review the Commissioner's recommendations and adopt a set of Continuing Objectives.
 - o These Continuing Objectives should cover all aspects of the Department's activities.

RECOMMENDED CYCLE OF ACTIVITY:
ESTABLISH OBJECTIVES AND PRIORITIES



- o They should be grouped by level of priority.
- o No more than four objectives should be placed in the highest priority category.

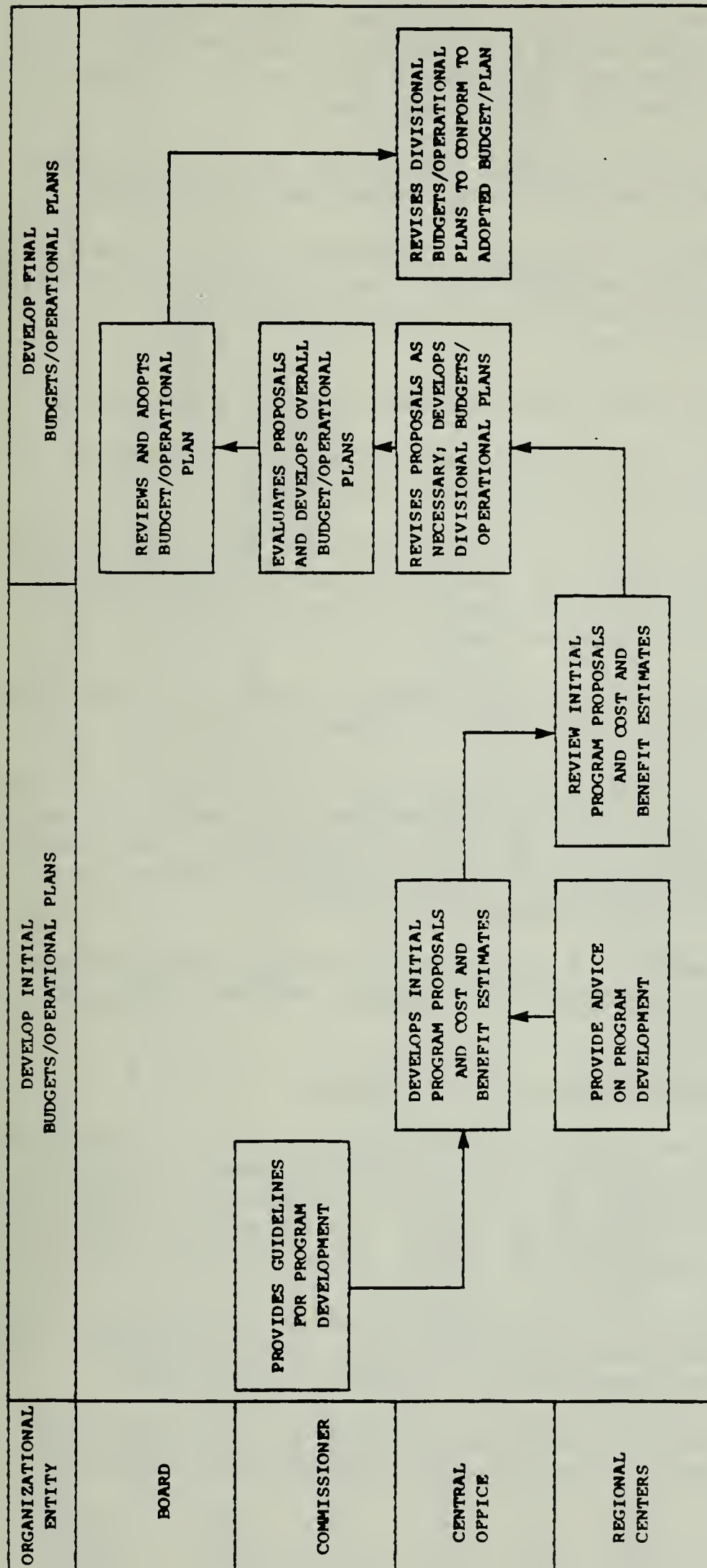
2. Develop Annual Objectives And Priorities

- The only difference between establishing annual versus long-range (five-year) objectives and priorities is the timing; the steps in the process are identical.
- Annual objectives and priorities should support the Board's long-range Continuing Objectives.
 - Each year, as part of the evaluation process discussed in Chapter IV, the Board should assess the extent to which its annual goals and priorities have been accomplished and whether activities have supported its long-range Continuing Objectives.

3. Develop Annual Budget/Operational Plans And Revise Long-Range Budgets/Operational Plans

- In the third cycle of activity, which is outlined in Exhibit III-6, a combined budget/operational plan should be constructed that conforms with the goals and objectives established by the Board.
 - This process should begin with the Commissioner providing guidelines to Bureau Directors and other central office staff on program development and budget targets.
 - Bureau Directors and other central office staff should seek input from the regional centers and appropriate advisory committees and then develop program proposals and initial cost and benefit estimates.
 - After these proposals have been reviewed by regional center staff and the appropriate advisory committees, the Bureau Directors and other central office staff should develop divisional budgets/operational plans.
 - o Alternative plans should be developed to reflect different levels of proposed funding.
 - o For example, budgets/operational plans should be prepared for funding levels of 90 per cent, 100 per cent, and 110 per cent of current funding.

RECOMMENDED CYCLE OF ACTIVITY:
DEVELOP BUDGETS/OPERATIONAL PLANS

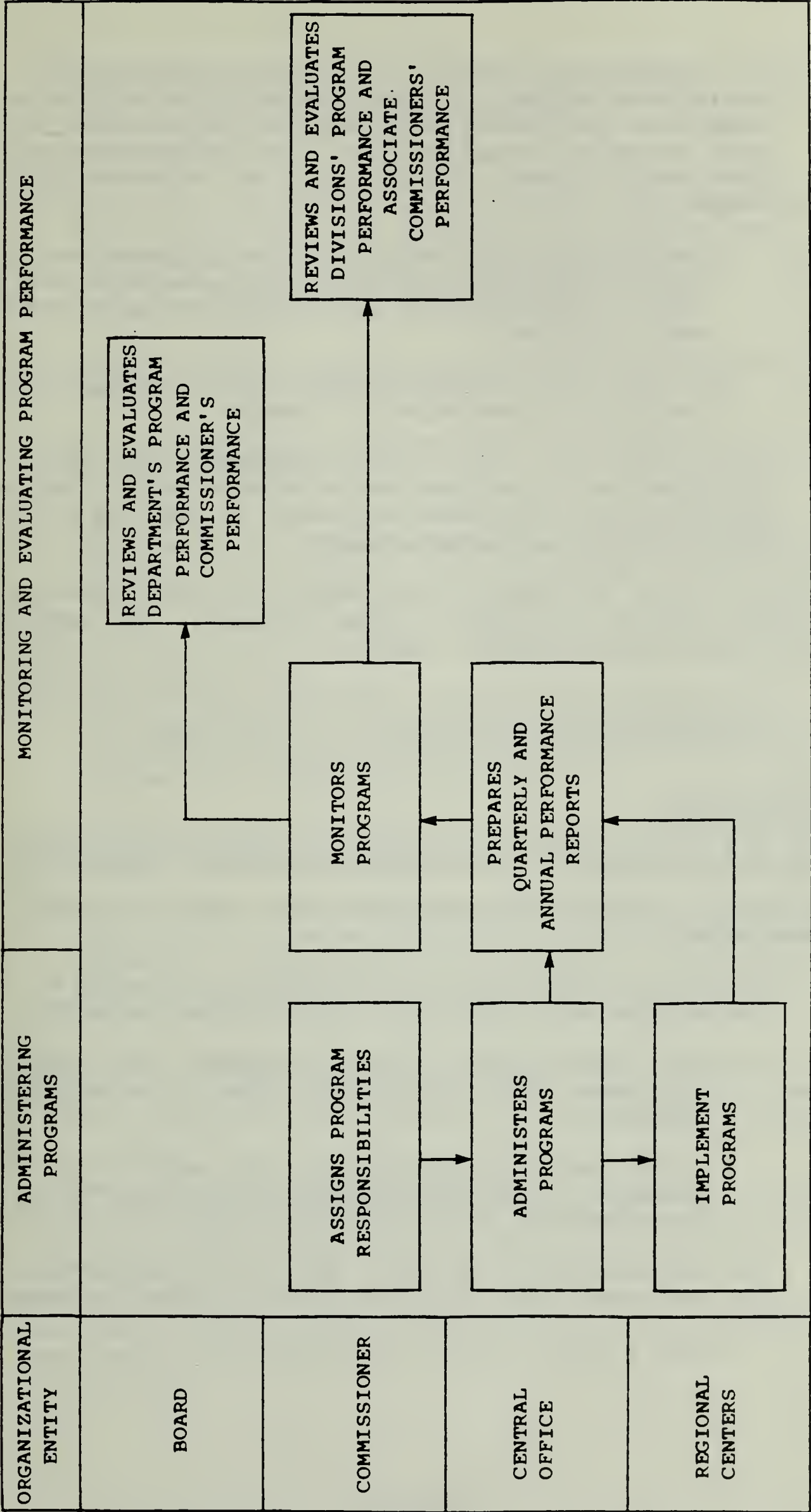


- After the Commissioner evaluates these proposals for the quality and importance of the plans presented, he or she should then develop and submit an overall budget/operational plan for Board approval.
 - o The Board should make the final decision on how resources should be allocated among programs.
- After the Board has adopted a budget/operational plan, the Commissioner should direct each division to revise where necessary the budget/operational plan it previously submitted.
- The budget/operational plan adopted by the Board should:
 - Clearly reflect the Board's Continuing Objectives and priorities both in substance and format
 - Include information on program cost, funding sources, expected activity, the number of employees required to implement the program, and measures to be used to evaluate program performance.
- Identical procedures should be used to develop both annual and five-year budgets/operational plans.
 - The five-year budget/operational plan should provide information on expected activities for each of the five years included in the plan; more detailed information on expected activity should be provided for the first three years of the budget/operational plan.
 - Each year however, the five-year budget/operational plan should be reviewed and revised to reflect changing circumstances.

4. Administer Budgets/Operational Plans

- The purpose of the fourth planning cycle, as outlined in Exhibit III-7, is to organize and administer the Department's resources to carry out approved programs and activities and to provide a basis for accountability, evaluation, and the selection of future programs and activities.
 - The Commissioner, through the Deputy Commissioner for Program Operations, should assign responsibility for administering programs to specific divisions.
 - Each division then should administer programs and prepare quarterly and annual performance reports.

RECOMMENDED CYCLE OF ACTIVITY:
ADMINISTER BUDGETS/OPERATIONAL PLANS



- The Commissioner should informally monitor each division's progress through discussions with Bureau Directors and other staff and should annually evaluate each Associate Commissioner's performance according to previously agreed upon criteria and expected program results.
 - o The Commissioner should review programs not only to see if specific activities were accomplished but also to determine if agreed upon program results were achieved.
 - o A more detailed discussion of this evaluation process is presented in Chapter IV.
- In the same way, the Board's evaluation of the Commissioner's performance each year should reflect the progress the Department has made in achieving the Board's Continuing Objectives.
- This planning and evaluation process should culminate in a two-day retreat attended by Board members, the Commissioner, and other top Department staff.
 - An outside facilitator should be hired to plan and coordinate this retreat.

ROLES AND RESPONSIBILITIES

Roles And Responsibilities Should Be Clearly Delineated

- Currently, roles and responsibilities are not clearly understood.
 - The role of the Board, for instance, changes as the leadership and composition of the Board changes.
 - o Some Boards have actively lobbied the Legislature and have taken leadership roles in establishing policy.
 - o Other Boards have limited their activities to reviewing and approving policies prepared by the Commissioner and his or her staff.
 - The Commissioner too has a variety of responsibilities and can shape his or her role in a number of ways.

- o The Commissioner serves as the secretary to the Board, its chief executive officer and as the chief state school officer for elementary-secondary education.
- o He or she is charged by the Board to manage the State Department of Education, to achieve the objectives of the State Board of Education, and to provide educational leadership to the elementary-secondary program.
- o Exhibit III-8 summarizes the statutory powers and duties of the Commissioner.
- To be effective, the Commissioner must delegate many of these responsibilities.
 - o The role of the Commissioner can therefore vary from personally directing the day-to-day affairs of the Department to focusing on leadership by personally visiting local school districts.
- Responsibilities of central and regional center staffs sometimes overlap.
 - o The Personnel and Program Operations Policy clearly delineates the responsibilities of the central office and regional center staffs.
 - o Staff do not always follow the procedures set forth in this document, however.
 - o As a result, for some programs, both central office and regional center employees consider themselves primarily responsible for planning, evaluating, and monitoring programs for compliance with federal and State regulations.
- The roles and responsibilities of the Board of Education, the Commissioner, central office staff, and regional center staff should be clearly delineated, as outlined in Exhibit III-9.
- The Board should establish priorities, set policy, fulfill its statutory responsibilities, and interact effectively with the Governor's Office and the State Legislature.
 - As part of its responsibilities, the Board should review Department budgets/operational plans to ensure that Department activities adequately reflect Board priorities.

Massachusetts Board and Department of Education

POWERS AND DUTIES OF THE COMMISSIONER OF EDUCATION

Under Chapter 69, Section 1 of the state statutes the Commissioner of Education is responsible for:

- Supervising all educational work supported in whole or in part by the Commonwealth
- Collecting and distributing information as to the condition and efficiency of the public schools and other means of popular education and the best methods of instruction
- Suggesting improvement in the present system of public schools to the General Court
- Visiting as often as practicable different parts of the Commonwealth for the purpose of arousing and guiding public sentiment in relation to the practical interests of education
- Collecting in his office such school books, apparatus, maps and charts as may be desirable
- Receiving and arranging in his office the reports and returns of the school committees
- Receiving, preserving, or distributing the state documents relative to the public school system
- Giving sufficient notice of and attending such meetings, conferences and conventions of teachers of public schools as may be held under his direction, and meetings of members of school committees and of friends of education generally
- Collecting information relative to the condition of the public schools, the performance of their duties by school committees, and the condition of the towns in regard to teachers, pupils, books, apparatus and methods of education.

Massachusetts Board And Department Of Education

RESPONSIBILITIES FOR MAJOR FUNCTIONS

<u>Function</u>	<u>Responsibility</u>			
	<u>Board</u>	<u>Office of the Commissioner</u>	<u>Other Central Office Units</u>	<u>Regional Centers</u>
Policy Making	O	P	S	S
Intergovernmental Relations	O	I		
Interagency Relations	O	I		
Long-Range Planning	O	I	S	S
Program Planning And Development	O	O	I, P	S
Technical Assistance And Brokering		O	P, S	I
Program Monitoring		O	P, S	I
Program Evaluation	O	O	I	S
State and Federal Programs Administration		O	I, P	S
Budget, Finance And Other Administration		O	I, P	S
Department Activities Coordination		O	I, P	S
Data Collection		O	I, P	S
Department Staff Training		O	I, P	S
Outreach To Students, Parents, And Other Citizens	O	O	P	I
Grants Processing		O	I	
Grants Review	O	O	P, S	I

<u>Function</u>	<u>Responsibility</u>			
	<u>Board</u>	<u>Office of the Commissioner</u>	<u>Other Central Office Units</u>	<u>Regional Centers</u>
Testing And Assessment		O	I,P	S
Legal Services		O	I	
Teacher Certification		O	I,P	S
Equal Educational Opportunity		O	I,P	S

O = Provide oversight, overall policy direction, and review

P = Plan, control programs

I = Implement programs, provide direct services, coordinate daily activities

S = Provide information, make suggestions

- o The Board can most effectively provide leadership by repeatedly communicating the importance of a relatively few, high priority items to the Commissioner, the Department, local educational agencies, the Legislature, and the Governor's Office.
- o These priorities should be clearly reflected in the way Department resources are allocated.
- The Board should make major policy decisions and allow the Commissioner to oversee the operations of the Department.
- The Board, however, should review Department activities to ensure that its statutory responsibilities are being fulfilled.
 - o Exhibit III-10 presents the Board's statutory responsibilities and the various Department programs that address these responsibilities.
 - o As this exhibit indicates, the Board is more than adequately meeting its statutory obligations.
 - o For example, bureaus from four divisions work to "develop, evaluate and adapt educational innovations for public schools."
 - o Thirteen bureaus "provide services to local public schools that are beyond their capability to support separately."
 - o Responsibilities such as "establish minimum length of school day and minimum days in school year," "establish maximum pupil-teacher ratios in classes in public and elementary and secondary schools," and "establish the permissible and mandatory ages for school attendance" are fulfilled by the Board directly.
- The Board should also take a leadership role in ensuring that the Legislature and the Governor's Office understand the Department's priorities and programs.
 - o The Board's working relationships with the Legislature and the Governor's Office are discussed in Chapter VI.

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
Serve as communication and information center	Chapter 15, Section 1G	Required	Provide information and materials Maintain information on SAT scores Provide information on current educational issues, school finance, early child- hood education, and Effective Schools research Provide legal assistance Collect annual financial and statistical reports from local districts and provide general information about education Prepare guidelines and arrange seminars and work- shops for the collection of information on End of Year Reports and Fall Statistical Reports Disseminate management information data Manage collection, analysis, and assessment of pertinent special education data Provide placement informa- tion for rejected teaching applicants Maintain private school placement registry	Educational Resources and Television Research and Assessment Office of Executive Planning Office of General Counsel Data Collection and Processing School Management Services Bureau Program Development and Evaluation Teacher Preparation, Certification, and Placement Management Bureau	Curriculum and Instruction Curriculum and Instruction Commissioner Commissioner Administration School Facilities Special Education Curriculum and Instruction Special Education
Provide centralized long-range planning services	Chapter 15, Section 1G	Required			

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
Develop, evaluate and adopt educational innovations for public schools	Chapter 15, Section 1G	Required	Develop evaluation instructions for programs and policies Coordinate the development and implementation of research and innovative programs in occupational education Develop, update, and publicize programs to achieve better management designs Evaluate special education programs	Research and Assessment Planning, Research and Evaluation School Management Services Program Development and Evaluation	Curriculum and Instruction Occupational Education School Facilities
Establish standards and guidelines relative to the preparation of school budgets	Chapter 15, Section 1G	Required	Assist local education agencies in solving problems in school management	School Management Services	School Facilities
Delineate and locate other supporting services to improve operations of schools and the quality of educational programs	Chapter 15, Section 1G	Required	Assist local education agencies in solving problems in school management	School Management Services	School Facilities
Establish minimum length of school day and minimum days in school year	Chapter 15, Section 1G	Required			
Approve educational standards for appointments for professional personnel in the public schools	Chapter 15, Section 69, Chapter 71, Chapter 71A, Section 6	Required	Issue teaching certificates Review and recommend approval of teacher preparatory programs Verify language and cultural proficiency of bilingual, foreign language, and English as a second language teachers Certify educational staff in institutional schools	Teacher Preparation, Certification, and Placement Transitional Bilingual Education Institutional Schools	Curriculum and Instruction Curriculum and Instruction Special Education

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
Establish maximum pupil-teacher ratios in classes in public elementary and secondary schools	Chapter 15, Section 1G	Required			
Establish the permissible and mandatory ages for school attendance	Chapter 15, Section 1G	Required			
Establish minimum nutritional standards, require schools to make lunches available to children, and breakfasts available to needy children	Chapter 15, Section 1G	Required	Administer feeding programs for public and nonprofit schools, institutions, child care agencies, summer camps, and elderly persons	Nutrition Education and School Food Services	School Facilities
Establish minimum education standards for required public school courses	Chapter 15, Section 1G	Required	Conduct statewide assessment programs in Basic Skills	Research and Assessment	Curriculum and Instruction
Establish minimum standards for all public school buildings	Chapter 15, Section 1G	Required	Implement minimum standards for new school construction and renovation	Bureau of School Building Assistance	School Facilities
Evaluate annually the efficiency of the state aid formula	Chapter 15, Section 1G	Required			
Develop plans for education to meet state needs, and plan and approve federal programs undertaken in the Commonwealth	Chapter 15, Section 1G	Required	Coordinate long-range planning and policy development Plan and produce accountability reports, annual plans, and long-range plans Administer major education programs including Title I, Title II, and Title IV Administer federal programs for adult basic education Administer local bilingual programs Administer local manpower training funds and programs	Office Executive Planning Planning, Research and Evaluation School Programs Student, Community and Adult Services Transitional, Bilingual Education Education, Training and Employment	Occupational Education Curriculum and Instruction Curriculum and Instruction Curriculum and Instruction Curriculum and Instruction

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
See to it that all school committees comply with all laws relating to the operation of public schools	Chapter 15, Section 1G	Required	Monitor, administer, provide technical assistance relating to and enforce all State and federal laws affecting public schools, including laws on special education, vocational education, bilingual education, equal opportunity and federal grant programs and federal state and federal bilingual education programs and programs for national origin desegregation assistance, refugees, and children of migratory workers	Regional Education Centers	Deputy Commissioner
			Monitor, evaluate, and process private proprietary school applications	Transitional Bilingual Education	Curriculum and Instruction
			Conduct fiscal audits of state and federal programs	Postsecondary Occupational Technical Education	Occupational Education
			Monitor special education programs in public and private schools	External Audit	School Facilities
			Monitor federal manpower training funds and programs	Program Audit and Assistance	Special Education
			Collect and analyze financial and statistical reports from local school districts	Education, Training, and Employment	Occupational Facilities
Report to the Governor and General Court on Board acts and decisions during the preceding year with recommendations for the ensuing year, and distribute a report on the performance of the public schools to school committee chairs	Chapter 15, Section 1G	Required		Data Collection and Processing	Administration
Establish functions, duties and responsibilities of each division in the Department	Chapter 15, Section 1G	Required			

Massachusetts Board And Department Of Education

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
Appoint advisory committees	Chapter 15, Section 1G	Required			
Require school committees and school administrators to annually confer with local businesses to ascertain occupational training opportunities	Chapter 15, Section 1G	Required			
Provide technical and other assistance in the formulation of plans to reduce or eliminate racial imbalance	Chapter 15, Section 1I Chapter 71, Section 37J	Required	Provide technical assistance in race desegregation of schools Recommend funding and technical assistance for the METCO program Provide technical assistance in program development and compliance in areas of civil rights, admissions plans, and affirmative action for the handicapped, disadvantaged, limited English proficient, student refugees, and males and females in nontraditional vocational programs	Equal Educational Opportunity School Programs Program Services	Commissioner Curriculum and Instruction Occupational Education
Provide services to local public schools that are beyond their capability to support separately	Chapter 15, Section 1G	Required	Deliver educational services to local school systems and other local educational organizations and their constituents Provide technical assistance in the implementation of instructional technology programs Assist schools in policy implementation by visits, workshops, test approval and publications	Regional Education Centers Educational Resources and Television Research and Assessment	Deputy Commissioner for Program Operations Curriculum and Instruction Curriculum and Instruction

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
			Provide technical assistance to local school districts for major education programs including Title I, Title II, and Title IV, METCO, Chapter 636, Gifted and Talented, and Basic Skills	School Programs	Curriculum and Instruction
			Provide technical assistance in Adult Basic Education, Community Education, Health Education, Hearings Development and Physical Education, student services, High School Equivalency (GED), Correspondence Courses, Guidance and Counseling, and Immigration and Americanization	Student, Community and Adult Services	Curriculum and Instruction
			Provide technical assistance for State and federal bilingual education programs and programs for national origin desegregation assistance, refugees, and children of migratory workers	Transitional Bilingual Education	Curriculum and Instruction
			Provide technical assistance for federal manpower training programs	Education, Training and Employment	Occupational Education
			Provide technical assistance to public and private occupational training institutions at the adult level	Postsecondary Occupational Technical Education	Occupational Education
			Provide technical assistance through regional education centers for development, evaluation, and improvement of vocational education programs	Program Services	Occupational Education

Massachusetts Board And Department Of Education

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
			Provide professional assistance on school building projects	School Building Assistance	School Facilities
			Assist local education agencies in solving problems in school management	School Management Services	School Facilities
			Provide technical assistance for feeding programs for public and nonprofit private schools, institutions, child care agencies, summer camps, and elderly persons	Nutrition Education and School Food Services	School Facilities
			Provide technical assistance to school systems and other agencies	Program Development and Evaluation	Special Education
Establish no more than three experimental schools	Chapter 15, Section 1G	Authorized			
Withhold State and federal funds from school committees failing to comply with the law	Chapter 15, Section 1G	Authorized			
Collect and maintain information from public schools	Chapter 15, Section 1G	Authorized	Collect and analyze financial and statistical reports for local school districts	Data Collection and Processing	Administration
Receive and distribute funds for federal and State programs and seek, accept and administer grants from private foundations and field agencies	Chapter 15, Section 1G	Authorized	Review grant requests Monitor expenditures of State and federal funds Administer major education programs including Title I, Title II, Title IV, METCO, Chapter 636, Gifted and Talented, and Basic Skills Administer state and federal funding programs for adult basic education	Fiscal Affairs School Programs Student, Community and Adult Services	Administration Curriculum and Instruction Curriculum and Instruction

Massachusetts Board And Department Of Education

STATUTORY RESPONSIBILITIES OF THE BOARD

<u>Responsibility</u>	<u>Statute</u>	<u>Required/ Authorized</u>	<u>Program/Function</u>	<u>Bureau/Office</u>	<u>Division</u>
Seek relevant information Chapter 15, Section 1G Authorized from other states and institutions and from other departments, divisions, authorities, and agencies within the Commonwealth	Chapter 15, Section 1G Authorized	Employ consultants as needed	Administer State and federal bilingual education programs and programs for national origin desegregation, assistance, refugees, and children of migratory workers	Transitional Bilingual Education	Curriculum and Instruction
			Administer federal manpower training funds	Education, Training and Employment	Occupational Education
			Process grants for school construction, administer State and federal asbestos program	School Building Assistance	School facilities
			Administer State and federal feeding programs	Nutrition Education and School Food Services	School Facilities
			Administer State and federal funds allocated for children with special needs residing in institutional schools	Institutional Schools	Special Education
			Administer federally funded programs	Management	Special Education
			Calculate local aid	Data Collection and Processing	Administration

- The Commissioner should be responsible to the Board for the Department's performance, should serve as the primary spokesperson and leader for education in the Commonwealth, and should effectively communicate Board priorities to the Department and the general public.

- The Commissioner should focus his or her efforts on meeting with local school officials, interacting with the Legislature and Governor's Office, and otherwise communicating the Board's highest priorities to the public.
- To provide leadership within the Department, the Commissioner should meet regularly, both formally and informally, with staff from throughout the Department and should use these opportunities to stress the importance of achieving the Board's highest priority objectives.
- The Commissioner should delegate responsibility for overseeing the day-to-day activities of the Department.
 - o The Commissioner cannot effectively lead local school districts if he or she gets too involved in day-to-day operations.
 - o The Commissioner, therefore, should establish the policies and procedures for day-to-day activities and should periodically review the actions taken by those who have been delegated responsibility.

Although the Commissioner delegates responsibility for day-to-day activities, he or she should continue to be involved in policy making and should play an active role in all important operating decisions.

- The Board should conduct a national search to identify candidates to serve as Commissioner.
 - To be most effective, a Commissioner should have:
 - o Leadership ability
 - o Ability to relate to State government officials and represent the Department and Board in the development of State policies and budgets
 - o Substantive knowledge of educational programs
 - o The ability to articulate creative thoughts

- o Experience in managing large organizations.
- An effective Commissioner should have the knowledge, experience, and credibility necessary to provide leadership and to effectively manage the Department.
- Central Office managers should prepare and plan programs, train Department staff, coordinate personnel related activities, provide administrative and technical support to both the regional centers and the Board, and coordinate all Department activities.
 - Central office managers should seek input from regional staff when preparing, planning, and evaluating Department programs, but should assume primary responsibility for these activities.
 - Training of Department employees should also be coordinated by the central office.
 - In addition, central office staff should provide administrative and technical support to the regional centers and the Board.
 - o These administrative services include budgeting, data processing, and grants processing.
 - o Technical service should be provided when regional centers do not have specialists or other resources on site to furnish the technical assistance needed at the local level.

Such services demand special expertise but are not often needed in all regions; examples are legal services and planning.

- Responsibility for coordinating Department programs should also reside in the central office.
 - o Opportunities to combine programs, and thereby reduce costs and improve services, should be identified and incorporated into the Department's budgets/operational plans.
 - o Central office employees should work with regional center staff to identify opportunities to integrate programs.
- Regional Centers should represent the Department in most dealings with local school districts.

- Activities related to identifying local needs, monitoring program compliance, providing technical assistance, and brokering services should generally take place at the regional level.
- Most communications from the Department to local educational agencies and from local educational agencies to the Department should flow through the regional offices.

The Responsibilities Of Regional Directors And Bureau Directors Should Be Modified To Resolve Problems Of Clear Delineation Of Duties And Responsibilities

- The present appropriate delineation of responsibilities, as presented in the Personnel and Program Operations Policy, represents the Department's thoughtful effort to give Regional Directors the ability to respond effectively to local needs while giving authority to Bureau Directors to maintain programmatic control.
 - In the existing matrix structure, Bureau Directors are responsible for program planning and design, while Regional Directors are responsible for program operations.
 - o The Personnel and Program Operations Policy clearly delineates Bureau Director and Regional Director responsibilities for training staff, hiring additional staff, evaluating employee performance, purchasing equipment, and developing operational plans.
 - Regional employees, therefore, report to Bureau Directors on programmatic issues and to Regional Directors on operational issues.
- The process established in the Personnel and Program Operations Policy document has not been completely effective for a number of reasons.
 - Not all Bureau Directors and Regional Directors adhere to its policies.
 - o Although some Bureau Directors and Regional Directors closely follow these policies, others follow these procedures only when it is in their interests to do so.
 - Under existing procedures, one employee can report to and be evaluated by numerous individuals.

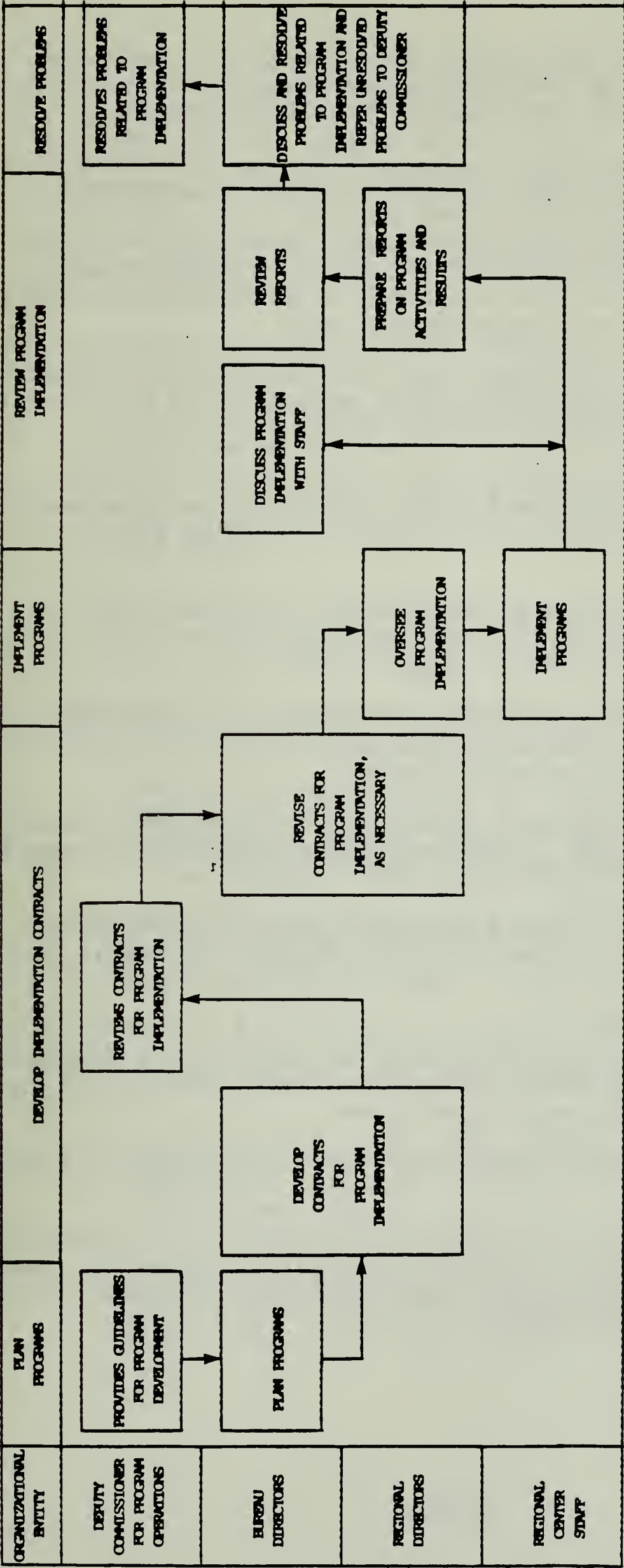
- o One employee can report to and receive evaluations from both a Regional Director and Bureau Director(s).
- o Since employees in a regional center sometimes work on three or more programs, they can report to and be evaluated by four or more supervisors.
- o When conflicting demands are made on their time, they do not know how to respond.
- Regional Directors lack flexibility in responding to local needs.
 - o Under existing procedures, Bureau Directors, Regional Directors, and staff establish contracts for how staff resources will be used during the year.
 - o Regional Directors who abide by these contracts are not always able to match staff expertise with issues and problems requiring that expertise.
- The responsibilities of Bureau Directors and Regional Directors should be modified slightly to correct these problems.
 - Bureau Directors should continue to plan, develop, and evaluate programs, while Regional Directors should continue to implement these programs.
 - Regional Directors, however, should be given more flexibility in using staff resources.
 - o Instead of contracting with Bureau Directors for use of specific staff members' time, Regional Directors should agree to perform tasks to achieve the program goals of Bureau Directors at a certain level of funding.
 - o The level of funding negotiated will depend on the number of staff positions and the amount of material and equipment needed to achieve the agreed upon objectives.
 - Under these recommended procedures, staff should report directly to the Regional Directors and should have an indirect reporting relationship to Bureau Directors.
 - o Regional Directors should be given full responsibility to hire, evaluate, and discipline employees.

- o They should have the flexibility to assign the most qualified staff member to a given assignment.
 - o Bureau Directors, however, should receive reports on how regional center employees spend their time and should be allowed to discuss with them the quality, type, and number of activities they perform.
 - o Activity reports must also be prepared so Bureau Directors can ensure that the Department complies with State and federal regulations.
- Regional Directors should be held responsible for achieving program objectives and, therefore, staff activities.
- o Bureau Directors should review program activities and results to ensure that the Regional Director is fulfilling the program goals established in the contract with the regional center.
 - o If a Bureau Director is concerned with how a program is being implemented, he or she should first discuss the problem informally with the Regional Director.
 - o If, after repeated discussions, the matter remains unresolved, the Bureau Director, working with his or her Associate Commissioner, should ask the Deputy Commissioner for Program Operations to mediate and resolve the situation.
 - o When mediating such situations, the Deputy Commissioner for Program Operations should consider first whether the program's objectives are being achieved, and only after it has been established that the program's objectives are not being achieved should he or she address the issue of how the objectives are being achieved.
- Exhibit III-11 graphically depicts this process.

The Department Should Rely More Heavily On Brokering In Providing Technical Assistance To Local School Districts

- The Department currently provides technical assistance to local school districts by providing needed services directly, and by acting as brokers of information and services.

Massachusetts Board and Department of Education
RECOMMENDED PROCESS TO PLAN, IMPLEMENT AND MONITOR DEPARTMENT PROGRAMS



- When acting as brokers of information and services, staff members do not provide services directly to local school districts, but rather provide assistance indirectly by linking local school officials with experts from outside the Department or providing them with other resources needed to address their needs.
- When necessary, the Department should continue to provide technical assistance directly, however, the Department should focus more of its resources on providing technical assistance through a brokering strategy.
 - For instance, the Department has been most successful in helping school districts form partnerships with local businesses to address local needs.
 - When acting as a broker, the Department should provide such resources as published information on programs and services that may be of interest to local school officials.
 - In addition, the Department should contract with temporary consultants who have specific skills and expertise needed by the districts.
 - o Depending on the expected demand for their services, temporary consultants should be hired on either a retainer or one-time basis.
 - o These consultants should include teachers and administrators who have developed exemplary programs and experts from colleges and universities.
 - o Department officials should work with employee unions and State bargaining agents to ensure that resistance to hiring part-time consultants will be minimized.
- Some bureaus and regional centers already act as brokers, but the Department should expand brokering activities to capitalize on their many advantages.
 - Brokering is more cost-effective than providing services directly.
 - o Since temporary consultants require less administrative support than full-time staff, brokering reduces the overhead costs associated with providing technical assistance.

- o The hourly rate paid short-term consultants is somewhat less than the salary paid Department staff, because part-time consultants do not need to be paid benefits.
- o Also, in some instances, when a broker can refer a school district to published documents or a contact person in another school district, the district may be able to solve its problems at no cost to the Department.
- Brokering can also provide teachers and administrators in local districts with an incentive to do good work.
 - o Teachers and administrators who develop exemplary programs will have their work formally recognized.
 - o When called on to act as consultants, these teachers and administrators should also receive financial rewards.
 - o Furthermore, many teachers indicated in interviews that they would welcome the variety part-time work as a consultant would provide.
- Brokering also improves the Department's ability to address the specific needs of local school districts.
 - o Although the Department is currently staffed with experts in many fields, it does not have the resources to employ experts in all areas for which school districts may need assistance.
 - o Brokering, however, will enable the Department to engage experts to address the unique needs of every school district.
- Teachers and administrators may accept the opinions of other teachers or administrators more readily than they will accept advice from Department specialists.
 - o In interviews, some local school district officials indicated that they did not trust the judgments of Department specialists who have never worked in school districts.
 - o If the Department acts as a broker, however, the broker may select teachers or administrators from other school districts as the best advisors to resolve specific local needs.

- The expansion of brokering will also improve the visibility and image of the Department in local school districts.
 - o Since brokers work with local school districts to identify problems but do not resolve them, local school districts will no longer view Department staff as providers of prepackaged solutions to their unique problems.
 - o Since brokering requires Department staff to understand the needs of local schools, the frequency of staff visits to local schools should increase.

The importance of increasing the Department's visibility in local schools is discussed in greater detail in Chapter IV.

- This service delivery strategy is also consistent with the proposed Statement of Principles (Exhibit III-2):
 - o Brokering is cost-effective.
 - o It respects the autonomy of the local decision-making process.
 - o It assumes that local school officials have detailed understanding of the needs of local students.
- Relying more heavily on brokering to provide technical assistance will have important implications for staffing.
 - The central office will continue to be staffed with specialists who can plan, develop, and evaluate programs, and can bring specialized expertise to recurring problems.
 - Fewer specialists, and more generalists, who are trained in identifying problems, will be employed by the regional centers.
 - o For especially complex programs, however, specialists may also need to be employed at the regional level both to provide advice to generalists, and to identify problems and assess needs.
 - Exhibit III-12 outlines staff competencies required at the regional centers and central office to plan and implement existing programs.

Massachusetts Board And Department Of Education

STAFF COMPETENCIES REQUIRED TO MONITOR
AND PROVIDE TECHNICAL ASSISTANCE, BY BUREAU

<u>Division</u>	<u>Bureau/Office</u>	<u>Central Office Specialist</u>	<u>Regional Centers</u>	
			<u>Specialist</u>	<u>Generalist</u>
Office of the Commissioner	Equal Education Opportunity	X		X
	General Counsel	X		
Curriculum and Instruction	Educational Resources and Television	X		X
	School Programs	X	X	X
	Student, Community and Adult Services	X		X
	Teacher Preparation, Certification and Placement	X		
	Transitional, Bilingual Education	X		X
Occupational Education	Commonwealth Inservice Institute	X		X
	Education, Training and Employment	X		X
	Postsecondary Occupational Technical Education Program Services	X		
		X	X	X
		X		
School Facilities and Related Services	External Audit	X		
	School Building Assistance	X	X	X
	School District Reorganization and Collaboration	X		
	School Management Services	X		X
	Nutrition Education and School Food Services	X		X
Special Education	Institutional Schools Management	X		
	Program Audit and Assistance	X	X	X
	Program Development and Evaluation	X		
		X		

- o As this exhibit shows, regional centers will continue to have specialists available in each major field (Curriculum and Instruction, Occupational Education, School Facilities and Related Services, Special Education) to respond to specific questions from local school districts.
- o These regional center specialists will also be available to address needs of local school districts, identified by generalists, when specialized assistance is needed but hiring a part-time consultant is not warranted.
- Since, as discussed above, Regional Directors should be given the flexibility to assign the most qualified staff to a given assignment, the distinction between specialists and generalists, as applied to individual employees, should remain fluid.
 - o Regional Directors should assign specialists to perform "generalist" responsibilities as needed.
 - o To be effective, both specialists and generalists should be experts.
 - o Specialists should have substantive expertise in specific program areas.
 - o Generalists should have substantive expertise in several program areas, and should be experts in identifying problems and knowing what resources are available to address the problems.
- To be effective, this brokering strategy must be supported by local school districts.
 - Teachers and administrators who have developed exemplary programs will be asked to work as part-time consultants.
 - The Department should, therefore, reach agreement with local school districts on how much time teachers and administrators will be available to work as consultants, and on how districts will be reimbursed for substitutes hired to replace teachers and administrators who are on short-term consulting assignments.
 - o The rationale for shifting resources from direct provision of technical assistance to providing technical assistance through brokering should be clearly communicated to unions, public school officials, and other interested parties.

Monitoring Efforts Should Be Effectively Coordinated With
Technical Assistance And Brokering Efforts

- The Department's regulatory activities should focus not only on the most important task of monitoring compliance with State and federal regulations, but should also be used to identify local needs and problems for the Department to address.
- Currently, according to interviews, many regional centers which have been most effective in ensuring compliance with State and federal regulations, also effectively coordinate monitoring and technical assistance efforts.
 - Many regional center employees view the distinction between monitoring and technical assistance to be artificial.
- Technical assistance and monitoring efforts are not always effectively coordinated, however.
 - Some regional center employees believe that monitoring only involves identifying programs that do not comply with State and federal regulations.
 - These employees do not consider school districts' efforts to comply with regulations even if circumstances prevent them from strictly complying with all regulatory provisions, and therefore do not continue to work with schools to help them comply with regulatory provisions.
 - They apparently have not received the training necessary to fully understand the intent of these regulations.
 - In addition, little effort is made to use the results of desk audits and financial audits to inform the Department's technical assistance efforts.
- If monitoring and technical assistance efforts are to be coordinated, some employees must change their attitudes toward their jobs.
 - Employees should understand that the goal of their work is to help local school districts provide better services to students.
 - Monitoring compliance with State and federal regulations is an important first step toward ensuring that students receive the services to which they are entitled.

- o Unless school districts violating regulations also receive the technical assistance necessary for them to remedy their non-compliance, however, students will not be better served.
- Department employees should also assume (as stated in Exhibit III-2) that most school districts make good faith efforts to comply with State and federal regulations.
 - o School officials resent some Department employees assuming that schools in violation of State and federal regulations have not tried to comply with these regulations.
 - o When Department employees have this attitude, school officials often mistrust later attempts by the Department to provide technical assistance.
 - o To assume school districts make good faith efforts to comply with regulations, does not mean Department officials should not vigorously enforce the regulations when such action is warranted, however.
- A number of steps can be taken to more effectively coordinate monitoring and technical assistance.
 - First, the Commissioner, central office managers, and regional center managers should clearly communicate the importance of coordinating monitoring and technical assistance efforts.
 - Second, affected employees should be evaluated both on their ability to monitor compliance with State and federal regulations and on their ability to help local school districts comply with these regulations.
 - Third, modifications in desk audit and financial audit practices and procedures should permit the use of information from these audits to inform the Department's brokering and technical assistance efforts.
 - o The Department currently uses desk audits only to identify districts where non-compliance may be a serious problem and where more comprehensive monitoring should take place.
 - o Desk audits enable the Department to make effective use of scarce staff resources, and expansion of these audits' focus will make them even more effective.

- Fourth, staff should be trained to understand both the intent and the content of program regulations.
 - o Staff should be trained to recognize school districts' legitimate efforts to comply with regulations and identify assistance for those districts that need such help.
 - o If unique circumstances make compliance with regulations impossible, Department staff should help these districts seek waivers of regulatory provisions.

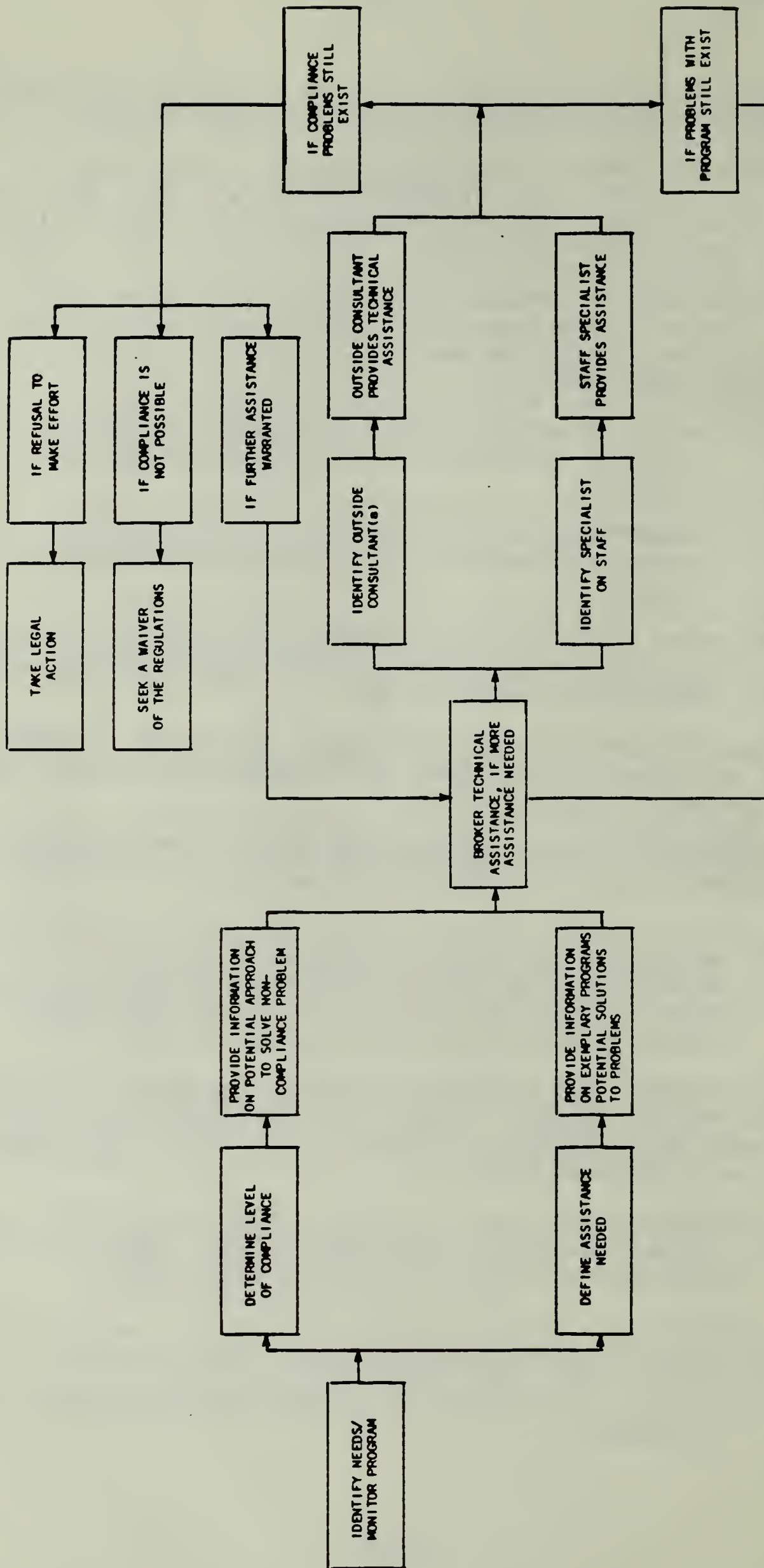
Waivers of regulatory provisions should be sought only in the most exceptional circumstances however.

Staff should not help local Districts seek waivers without first receiving approval of Regional Directors.

- o State legal action should be taken against districts only when they refuse to make genuine efforts to comply with regulations.
- Department monitoring and technical assistance efforts should be thought of as part of a two-tiered system, as illustrated in Exhibit III-13.
 - In the first tier, monitoring should be integrated with brokering and providing services.
 - o The primary purpose of the monitoring should be to determine how best to provide services to strengthen the local districts' attempts to achieve their objectives within the context of State priorities and State and federal regulations.
 - The second tier should be limited to those districts that do not appear to have the resources, skills, or the determination to operate within the State framework of minimum standards.
 - o These districts should be singled out for concentrated assistance, and monitoring should be directly related to actions to ensure compliance.
 - o Districts should receive significant assistance before they are targeted for legal action.

Legal action should be taken whenever warranted, however.

RECOMMEND APPROACH TO MONITORING PROGRAMS
AND PROVIDING TECHNICAL ASSISTANCE
TO LOCAL DISTRICTS



(a) Outside consultant could be a teacher or administrator from another district, a university professor, or an expert from an outside institution.

- o After these districts have remedied their noncompliance, they should be removed from the list of districts receiving special attention.

AUTHORITY OF THE
BOARD AND DEPARTMENT

The Board Of Education Should Have Line-Item Control Of The
Department's Budget And Authority To Approve Certain
Expenditures

- Currently, the Board's ability to respond effectively to unforeseen circumstances is hindered, because it cannot shift money among line items of the annual budget approved by the Legislature.
 - The Board, therefore, does not have the flexibility to address situations requiring immediate attention.
 - The Board cannot fund programs that were slightly under-budgeted even if other programs were slightly over-budgeted.
- The Board's ability to allocate funds within line items of the approved budget is also hindered, because some Department expenditures must be approved by the Governor's Office.
 - Purchase of service contracts, consultant contracts, expenditures related to conferences, out-of-State travel, and other activities must be submitted to the State's Executive Office of Administration and Finance for review and approval.
 - Recently, the Governor's office has assumed direct responsibility for reviewing and approving these items.
 - This procedure not only hinders the ability of Department officials to plan programs and manage their budgets, but the time required to hire temporary consultants is greatly increased.
- The Board, therefore, should be given more authority to control the Department's financial resources.
 - The Legislature should grant the Board the authority to reallocate resources among budgeted line items.
 - o Annually, the Board should submit a detailed budget to the State Executive Office of Administration and Finance that estimates how Department resources will be allocated during the coming year.

- o To give the Board the ability to respond to unforeseen circumstances and to fund under-budgeted programs, the Legislature should grant the Board the authority to increase or decrease spending for a particular line item by as much as 10 per cent during the budget year.
 - o The Board should submit to the Legislature a semi-annual document explaining why funds were reallocated.
 - The Legislature and the Executive Office of Administration and Finance should also take steps to provide somewhat broader oversight of Department operations by the Governor's Office.
 - o To reduce the time required to hire consultants and to improve the ability of Department officials to plan and direct Department activities, specific proposed expenditures should not be reviewed by the Governor's Office; instead, as recommended earlier, the Board should be responsible for such review and should be accountable to the Governor's Office for its actions.
- A list of all expenditures over \$500 should be prepared and submitted to the Governor's Office monthly.
- If the brokering strategy recommended in this report is to be successful, the Department must have the authority to hire consultants quickly when they are needed.
 - The Board should also receive more frequent financial reports, so it can monitor the Department's financial condition more closely.
 - Day-to-day responsibility for administering the Department's financial affairs should remain with the Commissioner and his or her subordinates.
 - The Associate Commissioner for Finance and Administration should meet with the Commissioner weekly.
 - Monthly, the Associate Commissioner for Finance and Administration should prepare and submit to the Board a report summarizing key expenditures and trends to describe the Department's financial condition.
 - Every four months, the Associate Commissioner for Finance and Administration should make a detailed presentation to the Board.

